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Item 5(b) of the provisional agenda
Matters relating to the mechanisms under the Kyoto Protocol
Review of the joint implementation guidelines

Synthesis report on examples of voluntary technical approaches, designed by host Parties for their joint implementation projects, that could assist the host Parties in achieving their quantified emission limitation or reduction commitments under the Kyoto Protocol

Note by the secretariat

Summary

This report synthetizes the information contained in the submissions from Parties in relation to voluntary technical approaches adopted by Parties to allow joint implementation (JI) under the Kyoto Protocol in order to assist Parties in achieving their quantified emission limitation or reduction commitments under the Kyoto Protocol, in accordance with decision 5/CMP.10, paragraphs 6 and 7. This report, in particular, highlights the manner in which Parties have chosen to make use of the international framework for JI and how they have integrated JI into their mix of mitigation policies established at the national level. In doing so, this paper highlights several examples of voluntary technical approaches implemented by Parties.

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I. Introduction

A. Mandate

1. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), by decision 9/CMP.1, adopted the guidelines for the implementation of Article 6 of the Kyoto Protocol, the joint implementation (JI) guidelines. By the same decision, the CMP decided that the first review of the guidelines should be carried out no later than one year after the end of the first commitment period, based on recommendations by the Joint Implementation Supervisory Committee and the Subsidiary Body for Implementation (SBI). SBI 39 initiated the review of the JI guidelines and Parties have continued to consider this matter since then. At SBI 42, Parties will continue their negotiations on the JI guidelines on the basis of the draft decision text and its appendix proposed by the co-facilitators of the informal consultations on the review of the JI guidelines at SBI 41, as contained in the annex to document FCCC/SBI/2014/L.34.

2. CMP 10, through its decision 5/CMP.10,[1] invited Parties to submit to the secretariat, by 16 March 2015, examples of voluntary technical approaches, designed by host Parties for their JI projects, that could assist the host Parties in achieving their quantified emission limitation or reduction commitments (QELRCs) under the Kyoto Protocol. The CMP also requested the secretariat to synthesize these submissions into a synthesis report for consideration at SBI 42.

B. Scope of the note

3. This report synthesizes the following two submissions[2] received by Parties in accordance with the mandate referred to in paragraph 2 above:

(a) A submission from Latvia and the European Commission on behalf of the European Union (EU) and its member States;

(b) A submission from Switzerland.

C. Possible action by the Subsidiary Body for Implementation

4. In accordance with decision 5/CMP.10, Parties may wish to take into consideration the information included in this synthesis report in their deliberations at SBI 42 under the agenda item 5(b), "Review of the joint implementation guidelines".

II. Synthesis of the submissions from Parties

A. Integrating joint implementation in national policy

5. Although JI has been implemented under the rules established for the Kyoto Protocol, the provisions for JI allow its implementation by Parties to occur in a variety of ways at the national level, depending on how Parties consider it will best complement their

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[1] Decision 5/CMP.10, paragraphs 6 and 7.

[2] The submissions are available at: <http://unfccc.int/5900.php>.

national circumstances and priorities. In providing examples of these different approaches, the submissions stressed that they are not an exhaustive list and that the choice of how to implement JI domestically is a matter of sovereign policy for each host Party, taking into account the costs and benefits, which may vary across countries, projects and time.

6. A number of key messages are provided through the submissions as follows:

(a) JI can be used by Parties to reduce domestic emissions and hence can contribute towards their QELRCs. It should be used in a manner that fits into the overall mitigation strategy of the Party, taking into account other policies and measures such as emissions trading systems, tax measures, environmental subsidies and regulatory measures. Emission reduction units (ERUs) are issued for the difference between the project emissions and the 'crediting threshold', which may or may not be equal to the baseline or reference level;

(b) Integrating JI into the national policy mix can mobilize the Party's private sector in areas of the economy that are not specifically covered by other energy or climate policies, and incentivizes this sector to achieve reductions beyond the levels required by such policies;

(c) It is important that reductions in emissions through JI are reflected in the national inventory of the Party. This does not take place automatically as national inventories estimate emissions at the aggregate level and do not necessarily utilize JI project-level data. Methodological consistency is needed between JI projects and national inventories in order to avoid any difficulty in achieving compliance with a QELRC as a result of ERUs being transferred to another Party while the national inventory remains unaffected;

(d) The reduction of emissions through a JI project may be 'shared' between the project owner and the Party. ERUs received by the project owner may be transferred to another Party and therefore will not be available for compliance with a QELRC in the originating Party. Assuming methodological consistency (as discussed in paragraph 6(c) above), the full ERU issuance and transfer of the emission reductions as ERUs will reduce both the national inventory and the assigned amount of the Party, resulting in the host Party not receiving any assistance in achieving its QELRC. A partial issuance of ERUs for the project owner would retain a part of the emission reduction benefit for the host Party, as would full issuance of ERUs with a portion being retained by the host Party. These measures help a host Party to ensure that the use of JI provides it with assistance in achieving its QELRC.

7. The submissions highlighted the importance of considering the risk of double counting that may occur as a result of using JI in conjunction with other national policies. This can take place if emission reductions are being separately accounted for under JI and under an emissions trading system that covers the sector in which the JI project is located. Parties may respond by disallowing such overlap or by using special provisions (such as 'set-asides' of allowances) to address it.

B. Examples of voluntary technical approaches

8. The submissions provided specific examples of approaches used by Parties to integrate JI into their mix of national policies. One submission listed the benefits of this integration as being: the discovery of untapped domestic mitigation potential; the identification and coverage of policy gaps; paving the way for new policies by incentivizing mitigation before and/or beyond requirements; the provision of incentives for earlier, faster, deeper, broader and more cost-effective and/or more innovative mitigation;

the utilization of private sector resources and insights; the promotion of a level playing field across various mitigation technologies and among national and international actors; and the quantification of emission reductions.

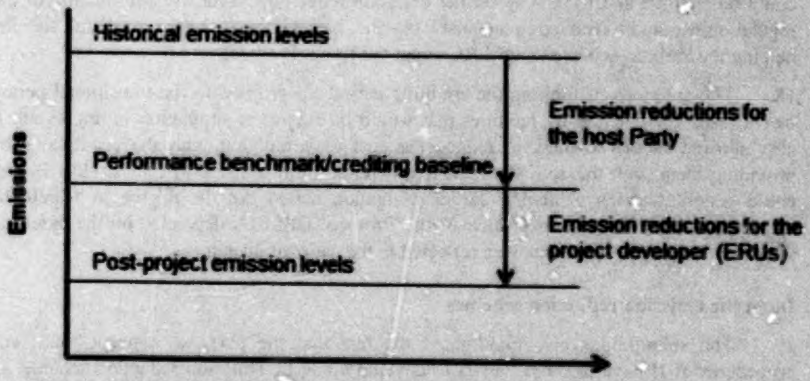
1. Emissions performance benchmarks

9. One of the submissions provided the example of EU member States, in particular Belgium, Finland, France and Germany, selecting the emissions performance benchmarks applicable to specific sectors. One such approach used the emissions range achievable from the best available technology to determine these benchmarks[3] (e.g. crediting baselines) instead of using the emissions range achievable from the current or most used technology. A related approach applied an approved clean development mechanism methodology that uses a conservative approach and takes national regulations into account to determine a crediting baseline below historical emissions.

10. Under both variations of the approach, the lower crediting baseline compared to the historical emission level meant that projects established in those host Parties would have to achieve a better emissions performance range in order to receive credits under JI.

11. In this way, Parties established a baseline standardization for the calculation of emission reduction factors for their projects. The emission reductions achieved by the project below the crediting baseline could be used to issue ERUs, while the emission reduction achieved by the project in lowering emissions from their historical levels to the crediting baseline would then help the Party to achieve its QELRC under the Kyoto Protocol.

Division of emission reductions under the performance benchmark approach


Historical emission levels
Emission reductions for the host Party
Performance benchmark/crediting baseline
Emissions
Emission reductions for the project developer (ERUs)
Post-project emission levels

Abbreviation: ERUs = emission reduction units.

12. As the emission reductions between the historical level and the crediting baseline were reflected in the Parties' inventories, this approach assisted Parties in meeting their Kyoto Protocol QELRCs. Under this approach, both the host Party and project developer could benefit through: a domestic mitigation potential at a lower cost, the investment and implementation of the best available technology standards in advance of any regulation, and the generation of revenue. However, the more stringent the crediting baseline, the narrower the scope of the emission reductions and the weaker the financial incentive for investing in the best available technology.

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[3] Actual baselines varied across Parties and over time during the crediting period.

2. Discounted emission reductions

13. Another example provided in one of the submissions was the application of a discount factor to the issuance of emission reductions as ERUs. Thus, a JI project would not issue ERUs for all its emission reductions achieved.

14. In this example, the full emission reductions of the project were calculated using pre-approved methodologies that ensured that the emission reductions achieved by the JI projects were also requested to be reflected in the national inventory. The discount served as a buffer in order to promote conservativeness and to help the host Party in achieving its Kyoto Protocol QELRC.

15. Such discounting is motivated by conservativeness and/or achievement of domestic mitigation, and it may vary across host Parties, project types and time. Under this approach, both the host Party and project developer benefit through achieving domestic mitigation at a lower cost, and through financially attractive investments and the generation of revenue. However, discounting reduces the amount of ERUs received by the project developer and thereby reduces the financial incentive.

3. Limiting crediting periods by reference to regulation

16. One of the submissions provided the example of limiting crediting periods to the date on which mandatory regulations become effective. During the period prior to the regulation becoming mandatory, facilities that voluntarily implemented activities to comply with the regulation were considered eligible for crediting under JI.

17. All the emission reductions achieved by these JI projects during the transition period could be credited as ERUs. Any further emission reductions, after the introduction of the regulation, would be credited to the host Party (i.e. no ERUs were issued for them), thereby helping the Party to achieve its QELRC under the Kyoto Protocol.

18. The approach of limiting the crediting period for projects to the transitional period incentivized early action by facilities that would be subject to regulation in any event. It also allowed facility owners to reduce the cost of complying with the regulations by providing them with the ability to generate revenue from the sale of ERUs. Host Parties could benefit through achieving earlier mitigation action but the degree to which the approach assisted them to meet their Kyoto Protocol QELRCs depended on the extent to which the emission reductions were reflected in the national inventory.

4. Domestic emission reduction schemes

19. The submissions also highlighted the fact that the purpose, concept, rules and procedures of JI have inspired Parties to develop domestic emission reduction schemes or programmes as part of their policies and measures to meet their Kyoto Protocol QELRCs.

20. For some domestic emission reduction schemes, the national authorities develop and approve methodologies in order to quantify emission reductions, which can later be included in the national inventories due to alignment with the methodologies for national inventories. Under other types of domestic emission reduction schemes, a project can only be selected if it follows certain categories/sectors decided by the Party in accordance with its national priorities. Some of these projects could be validated by the national authority or were required by the national authorities to be validated by an approved validator.

21. Related to the emission reductions generated by these projects, a Party could commit to purchasing a fixed amount or to paying for the verified emission reductions during a certain period. A Party could also issue a certificate/unit for the voluntary domestic emission reductions that could be used within the context of a domestic policy and measure. Neither of these affect the assigned amount held by Parties but all emission

reductions achieved – either at cost under the agreed purchase or domestic policy, or for free – can be credited to the host Parties and would help these Parties in achieving their Kyoto Protocol QELRCs.

C. Conclusion

22. These examples of different voluntary approaches for using JI, either directly or indirectly, are possible due of the flexibility of the mechanism. Parties have been creative and innovative in using and promoting these types of projects that can help them to achieve domestic emission reductions and therefore their national and international QELRCs. These approaches have also assisted project developers, as they are financially attractive and generate revenues so as to assist companies in complying with national regulations.

23. The submissions also noted that the experience of integrating JI into a national policy mix may have relevance beyond the context of the Kyoto Protocol and may be of interest to any Party that wishes to achieve domestic mitigation in a cost-effective manner in cooperation with its private sector.

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Item 5(c) of the provisional agenda
Matters relating to the mechanisms under the Kyoto Protocol
Matters relating to the international transaction log under the Kyoto Protocol

Information security implementation in registry systems

Note by the administrator of the international transaction log

Summary

Subsequent to preliminary efforts of the international transaction log (ITL) administrator and the Security Working Group established under the Registry System Administrators Forum, this document specifies the implementation status of information security controls in registry systems. This document also presents the recommended security implementation actions and their related resource requirements. The Subsidiary Body for Implementation may wish to take note of the information contained in this document and provide guidance to the ITL administrator and Parties, as necessary, concerning the information security implementation in registry systems.

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I. Introduction

A. Mandate

1. The Conference of the Parties, by decision 24/CP.8, and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), by decisions 3/CMP.1 and 13/CMP.1, requested Parties included in Annex B to the Kyoto Protocol to establish and maintain a national registry in order to ensure the accurate accounting of transactions of Kyoto Protocol units. Furthermore, the CMP requested the secretariat to establish and maintain an international transaction log (ITL) in order to verify the validity of the transactions proposed by registries. The ITL and registry systems are essential for the implementation of the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol.

2. The CMP, by decision 12/CMP.1, requested the Subsidiary Body for Implementation (SBI) to consider, at its future sessions, the annual reports of the ITL administrator, with a view to requesting the CMP to provide guidance in relation to the operation of registry systems.

3. The eighth annual report of the ITL administrator[1] provided recommendations to CMP 8 based on lessons learned during the first commitment period of the Kyoto Protocol. In these recommendations, it was proposed that information security management be improved based on the International Organization for Standardization/the International Electrotechnical Commission (ISO/IEC) 27001[2] and ISO/IEC 27002[3] standards.

4. In order to assess the impact of managing information security on the basis of ISO/IEC standards, the ITL administrator established a Security Working Group (SWG) under the Registry System Administrators Forum. Following the definition of objectives and plans to adopt a framework for managing the security of the information assets within registry systems, the ITL administrator and the SWG identified relevant assets and their associated information security requirements, reviewed known information security threats, and selected relevant controls in order to manage risks.

5. SBI 40 continued the consideration of information security management in registry systems. It welcomed the document prepared by the ITL administrator and the SWG and took note of the options for, and road map to, information security implementation in the registry system.[4] In this document, the ITL administrator and the SWG identified two options for facilitating the implementation of supplementary security controls in registry systems. These were the business as usual and further implementation options.

6. SBI 40 requested the ITL administrator and the SWG to execute the further implementation option by extending the current information security control implementation on the basis of a registry-specific and quantitative risk assessment, followed by an in-depth control implementation analysis. It also requested the ITL administrator and the SWG to prepare a document containing a final implementation option for information security management, including the related resource requirements for registry systems and the budget requirements for the ITL, for consideration at SBI 42.[5]

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[1] FCCC/KP/CMP/2012/8, paragraph 58(b).

[2] ISO/IEC 27001:2013. Security techniques – Information security management systems – Requirements.

[3] ISO/IEC 27002:2013. Security techniques – Code of practice for information security controls.

[4] FCCC/SBI/2014/INF.6.

[5] FCCC/SBI/2014/8.

B. Scope of the note

7. This document includes an analysis by the ITL administrator and the SWG of the current implementation status of the security controls in registry systems. This analysis contains the following:

(a) The scope of the registry-specific and quantitative risk assessment, which elaborates on the security questionnaire provided to national registries;

(b) The status of information security control implementation, as assessed by the ITL administrator and the SWG, based on the analysis of responses to the security questionnaire;

(c) The recommendations related to developing and establishing arrangements for the implementation of further information security controls in registry systems;

(d) The anticipated resource requirements and the timeline for the implementation of the recommendations, for consideration at SBI 42.

C. Possible action by the Subsidiary Body for Implementation

8. The SBI may wish to take note of the information included in this report, and determine further action to be taken by the ITL administrator and the administrators of other registry systems concerning information security implementation in registry systems.

II. Possible implications of implementation of further information security controls in registry systems

A. General considerations

9. Information security is focused on the protection of the **confidentiality**, **availability** and **integrity** of information. Information security is achieved by implementing a suitable set of controls. These controls include a range of activities related to policies, processes, procedures, organizational structures, software and hardware. The application of controls that effectively treat and manage risks is based on risk assessment.

10. Currently, the data exchange standards (DES),[6] established and maintained in accordance with decision 24/CP.8, mandate a set of security controls that are applied to data exchange between the ITL and registry systems. A central review of the controls specified in DES is carried out by the ITL administrator when establishing a registry's readiness to connect to the ITL. Changes in the application of these controls are assessed during the standard independent assessment report (SIAR) process pursuant to decision 16/CP.10, the results of which are forwarded for consideration by expert review teams under Article 8 of the Kyoto Protocol. In addition to the controls contained in DES, registry system administrators (RSAs) can apply additional security controls on a voluntary basis.

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[6] The latest version is available at: <http://unfccc.int/files/kyoto_protocol/registry_systems/itl/application/pdf/data_exchange_standards_for_registry_systems_under_the_kyoto_protocol.pdf>.

B. Scope of the registry specific and quantitative risk assessment

11. The scope of an in-depth, registry specific and quantitative risk assessment included security controls within the context of the business processes and information systems that enable emissions trading in registry systems.

12. The ITL administrator and the SWG prepared a security questionnaire which was provided to 38 national registries in October 2014. Twenty-six RSAs responded to the questionnaire by December 2014. Questions specific to the Consolidated System of European Union Registries (CSEUR) were answered by the European Commission on behalf of the Parties participating in the CSEUR.

13. Based on the responses to the security questionnaire, the ITL administrator and the SWG analysed the implementation status of information security controls as specified in the following 11 control categories from the ISO/IEC 27002 international standard:

(a) Administrative information security policy controls which provide direction and support for information security, in accordance with business and legal requirements, and initiate the implementation and operation of information security within registry systems;

(b) Human resource security controls which ensure that staff and contractors understand their responsibilities;

(c) Asset management controls which direct the identification of classified assets and define appropriate protection responsibilities;

(d) Access controls which limit access to information and information processing facilities;

(e) Cryptography controls which ensure proper and effective use of cryptography in order to protect the confidentiality, authenticity and/or integrity of information;

(f) Physical and environmental security controls which prevent unauthorized physical access and damage to as well as interference with information and information processing facilities;

(g) Operations security controls which ensure secure operations in registry systems;

(h) System development, acquisition and maintenance controls which ensure that information security is an integral part of the entire information system's life cycle;

(i) Supplier relationship controls which ensure protection of the assets that are accessible by suppliers;

(j) Information security incident management controls which ensure a consistent and effective approach to the management of information security incidents;

(k) Business continuity management controls which ensure that information security is embedded in the organization's business continuity plans and processes.

14. Questions related to controls contained in DES were not included in the questionnaire, as they are already implemented through DES and the SIAR process.

C. Assessment of information security controls implementation status

15. Based on the analysis of responses to the security questionnaire, the ITL administrator and the SWG concluded that a range of supplementary controls have been

applied based on the initiative of national registries. As is evident from the responses, most RSAs already apply an established management framework, which includes activities to:

(a) Initiate and control the implementation and operation of information security within registry systems;

(b) Limit or prevent access to national registry information assets;

(c) Ensure proper and effective use of cryptographic means in order to protect the confidentiality and integrity of information;

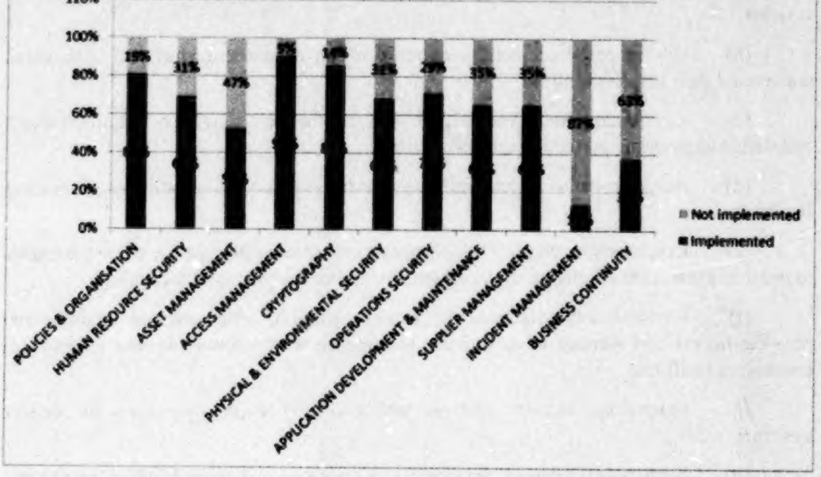
(d) Ensure correct and secure operations of information processing facilities;

(e) Ensure that information security is an integral part of information systems.

16. The implementation status of the control categories across all respondents is represented in the figure below.

Figure

Implementation status of the control categories



17. In March 2015, the ITL administrator provided registry-specific feedback to each responding national registry, based on the responses to the questionnaire. This feedback included references to the control categories that are reported as implemented by RSAs. In addition, the feedback included a specific risk assessment and corresponding recommendations regarding controls incompletely implemented in a national registry.

18. Based on an overall analysis of the responses to the security questionnaire, the ITL administrator and the SWG identified asset management, information security incident management and security aspects of business continuity management as the control categories with the most significant implementation gaps across national registries.

D. Recommendations for implementation of further information security controls

19. Decision 16/CP.10, paragraph 4, provides the mandate to the ITL administrator, in cooperation with administrators of other registry systems, to develop common operational procedures for implementation in all registry systems, as well as recommended practices

and information-sharing measures for registry systems, in order to facilitate and promote compatibility, accuracy, efficiency and transparency in the operation of registry systems.

1. Asset management

20. To rationalize security efforts in registry systems, it is suggested that the ITL administrator, in cooperation with administrators of other registry systems, develops, establishes and maintains requirements for managing inventories, related to information assets under the control of RSAs, which are of value to emissions trading under the Kyoto Protocol.

21. The information asset inventory defines the necessary structures that allow for the protection of particular assets. It includes digitized and physical, and tangible and intangible information technology service and human-related data. The information asset inventory further specifies assets' relative business value, their type and format, location, classification and ownership.

22. The individual asset inventories, implemented and managed by administrators of registry systems, should define the levels of protection corresponding to the value as well as the importance of the assets.

2. Information security incident handling

23. It is further suggested that the ITL administrator, in cooperation with administrators of other registry systems, reviews and updates the common operational procedure for the handling of security incidents.

24. The procedure for the handling of security incidents should be updated in order to include incident detection, incident communication to potentially impacted stakeholders, incident evaluation as well as prioritization and incident response. The updated procedure should enable the resolution of any actual, suspected or potential breach of confidentiality, availability or integrity of information assets recorded by registry systems in their information asset inventory referred to in paragraphs 20–22 above.

3. Information security aspects of business continuity management

25. The initialization process, included in DES, describes the process of bringing a registry system online, and allowing it to connect to the ITL and become fully operational. Prior to participating in a message exchange with the ITL, the registry must comply with a series of initialization requirements and procedures. This includes a disaster recovery plan designed to ensure business continuity in the event of catastrophic failure or disruption of the host environment.

26. Based on the responses to the security questionnaire, 63 per cent of the responding national registries reported that they do not establish, document, implement or maintain business continuity controls or only do so partially.

27. It is suggested that the ITL administrator reassesses changes in business continuity plans of the national registries which reported an incomplete implementation of the controls in these plans. This reassessment would ensure that the required level of information security continuity is maintained in the registry environments and would be conducted in conjunction with the SIAR process.

E. Resource requirements and the implementation timeline

28. The actions to be performed by the ITL administrator as a result the suggested recommendations can be accommodated within the ITL budget. An estimated implementation time of several months is anticipated. Reassessment of the changes in business continuity plans of the national registries can be completed in the annual SIAR process in 2016.

29. The ITL administrator and the SWG are not in a position to estimate the resource requirements or the implementation time required by RSAs to establish their arrangements for implementing the specified recommendations, owing to their national circumstances and organizational arrangements.

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Item 3(a) of the provisional agenda
Reporting from and review of Parties included in Annex I to the Convention
Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

Status of submission and review of sixth national communications and first biennial reports

Note by the secretariat

1. This note provides information on the status of submission and review of sixth national communications (NC6s) and first biennial reports (BR1s) from Parties included in Annex I to the Convention (Annex I Parties) as at 30 April 2015.

2. The Conference of the Parties (COP), by decisions 9/CP.16, paragraph 5, and 2/CP.17, paragraph 13, requested Annex I Parties to submit their NC6s and BR1s, respectively, by 1 January 2014.

3. In addition, the COP, by decision 2/CP.17, paragraph 12, adopted the "UNFCCC biennial reporting guidelines for developed country Parties", noting that developed country Parties shall use the reporting guidelines for the preparation of their biennial reports (BRs). By decision 19/CP.18, paragraph 1, it also adopted the common tabular format (CTF) for those guidelines and decided that developed country Parties shall use the format when preparing and submitting their BRs in accordance with decision 2/CP.17.

4. By decision 7/CMP.8, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) requested Annex I Parties that are also Parties to the Kyoto Protocol to include, in their NC6s, the necessary supplementary information required by the "Guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol" (contained in the annex to decision 15/CMP.1).

5. At the time of the preparation of this note, the secretariat had received NC6s from all 44 Annex I Parties. A total of 26 Annex I Parties submitted their NC6s before the due date of submission in accordance with decision 9/CP.16, while 18 Annex I Parties submitted their NC6s after that date (12 of which submitted them within six weeks after that date). All

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national communications (NCs) received have been posted on the UNFCCC website.[1] The dates of submission are presented in the table below.

6. At the time of the preparation of this note, the secretariat had received 43 BR1s and 44 sets of CTF tables.[2] A total of 21 Annex I Parties submitted their BR1s and 19 Annex I Parties submitted their CTF tables before the due date of submission in accordance with decision 2/CP.17, while 21 Annex I Parties submitted their BR1s and 24 Annex I Parties submitted their CTF tables after that date (14 of which submitted their BR1s and 13 of which submitted their CTF tables within six weeks after that date). The textual part of the BR1 of Turkey, as well as Turkey's CTF tables, have not been submitted. All BR1s and CTF tables received have been posted on the UNFCCC website.[3] The dates of submission of the BR1s and the CTF tables are presented in the table below.

7. The COP, by decisions 23/CP.19 and 13/CP.20, adopted the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention" and decided to use these guidelines for the review of BR1s and NC6s starting in 2014 and for subsequent reviews of BRs and NCs until any revisions are decided upon by the COP. The review guidelines state that, in the years in which NCs and BRs are submitted together, both will be subject to an in-country review. They also state that a BR shall be reviewed in conjunction with its NC in the years in which both the BR and the NC are submitted.

8. The "Guidelines for review under Article 8 of the Kyoto Protocol" (contained in the annex to decision 22/CMP.1) specify that each NC submitted by an Annex I Party that is also a Party to the Kyoto Protocol shall be subject to a scheduled in-country in-depth review. By decision 9/CMP.9, the CMP requested the secretariat to organize centralized reviews of NC6s for Parties with total greenhouse gas emissions of less than 50 million tonnes of carbon dioxide equivalent (excluding land use, land-use change and forestry) in accordance with their most recent greenhouse gas inventory submission, with the exception of Parties included in Annex II to the Convention, for which the secretariat will organize in-country in-depth reviews.

9. As at 30 April 2015, the secretariat had coordinated 34 in-country in-depth reviews of NC6s and the technical reviews of BR1s for Australia, Austria, Belarus, Belgium, Bulgaria, Canada, the Czech Republic, Denmark, the European Union, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Kazakhstan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, Romania, the Russian Federation, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom of Great Britain and Northern Ireland and the United States of America. In accordance with the provision of decision 9/CMP.9 mentioned in paragraph 8 above, centralized reviews of NC6s and BR1s were coordinated by the secretariat for 10 Parties: Croatia, Cyprus, Estonia, Latvia, Liechtenstein, Lithuania, Malta, Monaco, Slovakia and Slovenia. The dates of the reviews are presented in the table below.

10. As at 30 April 2015, 41 reports on the in-depth review of NC6s and 41 reports on the technical review of BR1s had been published[4] (see the table below). Seventeen Annex I

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[1] <http://unfccc.int/national_reports/annex_i_natcom/submitted_natcom/items/7742.php>.

[2] The European Union (EU) submitted two sets of CTF tables, one for the EU-28 (the 28 member States of the EU) and one for the EU-15 (the 15 member States that formed the European Community at the time of ratification of the Kyoto Protocol).

[3] <http://unfccc.int/national_reports/biennial_reports_and_iar/submitted_biennial_reports/items/7550.php>.

[4] <http://unfccc.int/national_reports/annex_i_natcom/submitted_natcom/items/8445.php> and <http://unfccc.int/national_reports/biennial_reports_and_iar/technical_reviews/items/8446.php>.

Parties were multilaterally assessed in a working group session under the Subsidiary Body for Implementation (SBI) at its forty-first session and summary reports have been published. Review reports of the 24 remaining Annex I Parties will be multilaterally assessed in a working group session at SBI 42, and those for Belarus and Kazakhstan in a working group session at SBI 43.

Dates of submission of sixth national communications and first biennial reports and status of review reports as at 30 April 2015

Annex I Party	*National communication received (date)*	*Biennial report received (date)*	*Common tabular format tables received (date)*	*Language of submissions*	*Dates of review week*	*Status of review reports*	*Document symbol*
Australia	5 Aug. 2013	5 Aug. 2013	16 Jan. 2014	English	7–12 Oct. 2014	Published	FCCC/IDR.6/AUS FCCC/TRR.1/AUS
Austria	10 Feb. 2014	27 Feb. 2014	27 Feb. 2014	English	31 Mar. to 5 Apr. 2014	Published	FCCC/IDR.6/AUT FCCC/TRR.1/AUT
Belarus	31 Dec. 2013	14 Jan. 2014	30 Dec. 2013	Russian	20–25 Apr. 2015	Under preparation	–
Belgium	20 Dec. 2013 25 Apr. 2014	12 Feb. 2014	12 Feb. 2014	English and French	3–8 Nov. 2014	Published	FCCC/IDR.6/BEL FCCC/TRR.1/BEL
Bulgaria	30 Dec. 2013	30 Dec. 2013	30 Dec. 2013	English	20–25 Oct. 2014	Published	FCCC/IDR.6/BGR FCCC/TRR.1/BGR
Canada	20 Dec. 2013 2 Apr. 2014	20 Dec. 2013 2 Apr. 2014	31 Dec. 2013	English and French	6–11 Oct. 2014	Published	FCCC/IDR.6/CAN FCCC/TRR.1/CAN
Croatia	12 Feb. 2014	12 Feb. 2014	12 Feb. 2014	English	5–10 May 2014	Published	FCCC/IDR.6/HRV FCCC/TRR.1/HRV
Cyprus	31 Dec. 2013	31 Dec. 2013	31 Dec. 2013	English	5–10 May 2014	Published	FCCC/IDR.6/CYP FCCC/TRR.1/CYP
Czech Republic	31 Jan. 2014	31 Jan. 2014	31 Jan. 2014	English	7–12 Apr. 2014	Published	FCCC/IDR.6/CZE FCCC/TRR.1/CZE
Denmark	3 Jan. 2014	3 Jan. 2014	7 Jan. 2014	English	17–22 Mar. 2014	Published	FCCC/IDR.6/DNK FCCC/TRR.1/DNK
Estonia	31 Dec. 2013	31 Dec. 2013	31 Dec. 2013	English	5–10 May 2014	Published	FCCC/IDR.6/EST FCCC/TRR.1/EST
European Union (28)[a]	13 Jan. 2014	13 Jan. 2014	13 Jan. 2014	English	24–29 Mar. 2014	Published	FCCC/IDR.6/EU FCCC/TRR.1/EU
European Union (15)[a]	–	–	15 Jan. 2014	–	24–29 Mar. 2014	–	–

Annex I Party	*National communication received (date)*	*Biennial report received (date)*	*Common tabular format tables received (date)*	*Language of submissions*	*Dates of review week*	*Status of review reports*	*Document symbol*
Finland	30 Dec. 2013	30 Dec. 2013	30 Dec. 2013	English	7–12 Apr. 2014	Published	FCCC/IDR.6/FIN FCCC/TRR.1/FIN
France	25 Oct. 2013	31 Dec. 2013	27 Dec. 2013	French, with English abstract	7–12 Apr. 2014	Published	FCCC/IDR.6/FRA FCCC/TRR.1/FRA
Germany	20 Dec. 2013	20 Dec. 2013	20 Dec. 2013	English	6–11 Oct. 2014	Published	FCCC/IDR.6/DEU FCCC/TRR.1/DEU
Greece	31 Dec. 2013	31 Dec. 2013	31 Dec. 2013	English	29 Sept. to 4 Oct. 2014	Published	FCCC/IDR.6/GRC CCC/TRR.1/GRC
Hungary	8 Jan. 2014	8 Jan. 2014	2 Jan. 2014	English	23–28 June 2014	Published	FCCC/IDR.6/HUN FCCC/TRR.1/HUN
Iceland	7 Mar. 2014	7 Mar. 2014	7 Mar. 2014	English	25–30 Aug. 2014	Published	FCCC/IDR.6/ISL FCCC/TRR.1/ISL
Ireland	7 Mar. 2014	7 Mar. 2014	20 Feb. 2014	English	19–24 May 2014	Published	FCCC/IDR.6/IRL FCCC/TRR.1/IRL
Italy	12 Feb. 2014	12 Feb. 2014	10 Feb. 2014	English	7–12 Apr. 2014	Published	FCCC/IDR.6/ITA FCCC/TRR.1/ITA
Japan	27 Dec. 2013	27 Dec. 2013	27 Dec. 2013	English	6–11 Oct. 2014	Published	FCCC/IDR.6/JPN FCCC/TRR.1/JPN
Kazakhstan (NC3, 4, 5 and 6)	24 Dec. 2013	26 Dec. 2014	26 Feb. 2014	English and Russian	20–25 April 2015	Under preparation	–
Latvia	29 Dec. 2013	29 Dec. 2013	29 Dec. 2013	English	5–10 May 2014	Published	FCCC/IDR.6/LVA FCCC/TRR.1/LVA
Liechtenstein	23 Dec. 2013	23 Dec. 2013	23 Dec. 2013	English	5–10 May 2014	Published	FCCC/IDR.6/LIE FCCC/TRR.1/LIE
Lithuania	10 Jan. 2014	10 Jan. 2014	10 Jan. 2014	English	5–10 May 2014	Published	FCCC/IDR.6/LTU FCCC/TRR.1/LTU
Luxembourg	21 Jan. 2014	21 Jan. 2014	22 Feb. 2014	English	24 Feb. to 1 Mar. 2014	Published	FCCC/IDR.6/LUX FCCC/TRR.1/LUX

Annex I Party	*National communication received (date)*	*Biennial report received (date)*	*Common tabular format tables received (date)*	*Language of submissions*	*Dates of review week*	*Status of review reports*	*Document symbol*
Malta	9 Apr. 2014	9 Apr. 2014	9 Apr. 2014	English	5–10 May 2014	Published	FCCC/IDR.6/MLT FCCC/TRR.1/MLT
Monaco	4 Apr. 2014	14 Apr. 2014	7 Apr. 2014	French	5–10 May 2014	Published	FCCC/IDR.6/MCO/Rev.1 FCCC/TRR.1/MCO
Netherlands	30 Dec. 2013	31 Dec. 2013	31 Dec. 2013	English	24 Feb. to 1 Mar. 2014	Published	FCCC/IDR.6/NLD FCCC/TRR.1/NLD
New Zealand	12 Dec. 2013	13 Dec. 2013	13 Dec. 2013	English	24 Feb. to 1 Mar. 2014	Published	FCCC/IDR.6/NZL FCCC/TRR.1/NZL
Norway	10 Mar. 2014	10 Mar. 2014	10 Mar. 2014	English	6–11 Oct. 2014	Published	FCCC/IDR.6/NOR FCCC/TRR.1/NOR
Poland	7 Feb. 2014	7 Feb. 2014	7 Feb. 2014	English	8–13 Sept. 2014	Published	FCCC/IDR.6/POL FCCC/TRR.1/POL
Portugal	31 Dec. 2013	31 Dec. 2013	6 Mar. 2014	English	7–12 Apr. 2014	Published	FCCC/IDR.6/PRT FCCC/TRR.1/PRT
Romania	19 Dec. 2013	19 Dec. 2013	19 Dec. 2013	English	23–28 June 2014	Published	FCCC/IDR.6/ROU FCCC/TRR.1/ROU
Russian Federation	30 Dec. 2013	11 Feb. 2014	17 Feb. 2014	Russian	6–11 Oct. 2014	Published	FCCC/IDR.6/RUS FCCC/TRR.1/RUS
Slovakia	2 Jan. 2014	2 Jan. 2014	22 Jan. 2014	English	5–10 May 2014	Published	FCCC/IDR.6/SVK FCCC/TRR.1/SVK
Slovenia	17 Apr. 2014	17 Apr. 2014	28 Mar. 2014	English	5–10 May 2014	Published	FCCC/IDR.6/SVN FCCC/TRR.1/SVN
Spain	20 Dec. 2013	19 Dec. 2013	19 Dec. 2013	Spanish	5–10 May 2014	Published	FCCC/IDR.6/ESP FCCC/TRR.1/ESP
Sweden	20 Dec. 2013	20 Dec. 2013	20 Dec. 2013	English	7–12 Apr. 2014	Published	FCCC/IDR.6/SWE FCCC/TRR.1/SWE
Switzerland	3 Feb. 2014	3 Feb. 2014	3 Feb. 2014	English	7–12 Apr. 2014	Published	FCCC/IDR.6/CHE FCCC/TRR.1/CHE

Annex I Party	*National communication received (date)*	*Biennial report received (date)*	*Common tabular format tables received (date)*	*Language of submissions*	*Dates of review week*	*Status of review reports*	*Document symbol*
Turkey (NC5)	17 Dec. 2013	Not yet received	Not yet received	English	20–25 April 2015	Under preparation	–
Ukraine	30 Dec. 2013	30 Dec. 2013	30 Dec. 2013	Russian	27 Oct. to 1 Nov. 2014	Published	FCCC/IDR.6/UKR FCCC/TRR.1/UKR
United Kingdom	20 Dec. 2013	20 Dec. 2013	12 Feb. 2014	English	15–20 Sept. 2014	Published	FCCC/IDR.6/GBR FCCC/TRR.1/GBR
United States	1 Jan. 2014	1 Jan. 2014	1 Jan. 2014	English	24 Feb. to 1 Mar. 2014	Published	FCCC/IDR.6/USA FCCC/TRR.1/USA

Abbreviation: NC = national communication.

[a] European Union (28) refers to the 28 member States of the European Union (EU); European Union (15) refers to the 15 member States that formed the European Community at the time of ratification of the Kyoto Protocol (Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Portugal, Spain, Sweden and United Kingdom of Great Britain and Northern Ireland).

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Item 12 of the provisional agenda
Cooperation with other international organizations

Summary of cooperative activities with United Nations entities and intergovernmental organizations that contribute to the work under the Convention

Note by the secretariat

Corrigendum

1. Table of contents

Chapter II title *should read*

Activities undertaken in cooperation with the United Nations Headquarters

Chapter II.A title *should read*

Activities initiated by the United Nations System Chief Executives Board for Coordination

2. Page 4

Chapter II title *should read*

Activities undertaken in cooperation with the United Nations Headquarters

Chapter II.A title *should read*

Activities initiated by the United Nations System Chief Executives Board for Coordination

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Item 8 of the provisional agenda
Poznan strategic programme on technology transfer

Report of the Global Environment Facility on the progress made in carrying out the Poznan strategic programme on technology transfer

Note by the secretariat*

1. At its thirty-fourth session, the Subsidiary Body for Implementation (SBI) invited the Global Environment Facility (GEF) to provide reports on the progress made in carrying out its activities under the Poznan strategic programme on technology transfer, for consideration at subsequent SBI sessions, for the duration of the programme.[1]

2. SBI 41 noted the areas of collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the Climate Technology Centre and Network and invited the GEF to report on this collaboration in its future progress reports.[2]

3. In response, the GEF secretariat submitted a report dated 28 April 2015, which is reproduced in the annex as submitted, without formal editing and with the original pagination.

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[*] This document was received from the Global Environment Facility secretariat on 28 April 2015.

[1] FCCC/SBI/2011/7, paragraph 137.

[2] FCCC/SBI/2014/21, paragraph 87.

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Annex

GLOBAL ENVIRONMENT FACILITY

April 28, 2015

IMPLEMENTATION OF THE POZNAN STRATEGIC AND LONG-TERM PROGRAMS ON TECHNOLOGY TRANSFER

AND

GEF CONSULTATION WITH THE CLIMATE TECHNOLOGY CENTER AND NETWORK

A PROGRESS REPORT OF THE GEF TO THE SUBSIDIARY BODY FOR IMPLEMENTATION AT ITS FORTY SECOND SESSION

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Abbreviations and Acronyms

ACP	Asia Climate Partners
ADB	Asian Development Bank
ADP	Ad Hoc Working Group on the Durban Platform for Enhanced Action
AfDB	African Development Bank
AWF	African Water Facility
BUR	Biennial Update Report
CCA	Climate Change Adaptation
CCM	Climate Change Mitigation
CEO	Chief Executive Officer
CO_2	Carbon Dioxide Equivalent
COP	Conference of the Parties
CTC	Climate Technology Centre
CTCN	Climate Technology Centre and Network
EBRD	European Bank for Reconstruction and Development
EST	Environmentally Sound Technology
ETC	Early Transition Countries
FAO	Food and Agriculture Organization of the United Nations
FIRI	Food Industry Research Institute, Vietnam
FSP	Full-Sized Project
FY	Fiscal Year
GEF	Global Environment Facility
GIS	geographic information system
HCFC	hydro-chlorofluorocarbon
HFO	hydrofluoroolefin
HVAC&R	heating, ventilating, and air conditioning and refrigeration
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IPCC	Intergovernmental Panel on Climate Change
KMUTT	King Mongkut's University of Technology Thonburi, Thailand
LAC	Latin America and the Caribbean
LDCF	Least Developed Countries Fund
LFD	light emitting diode
MSP	Medium-Sized Project
NC	National Communication
NCARE	National Center for Agricultural Research and Extension, Jordan
NDE	National Designated Entities
NDRC	National Development and Reform Commission, China
ODS	ozone depleting substances
PE	private equity
PPP	Public-Private Partnership
PMU	Project Management Unit
REDD	Reducing emissions from deforestation and forest degradation
SBI	Subsidiary Body for Implementation
SCCF	Special Climate Change Fund
SCCF-A	Special Climate Change Fund Adaptation Program
SCCF-B	Special Climate Change Fund Program for Technology Transfer
SE4ALL	Sustainable Energy for All
SEMED	Southern and Eastern Mediterranean

TAP	**Technology Action Plan**
TEC	**Technology Executive Committee**
TF	**Trust Fund**
TNA	**Technology Needs Assessment**
UNDP	**United Nations Development Program**
UNEP	**United Nations Environment Program**
UNFCCC	**United Nations Framework Convention on Climate Change**
UNIDO	**United Nations Industrial Development Organization**
VC	**venture capital**
VHG-SSF	**very high gravity simultaneous saccharification and fermentation**
WB	**World Bank**
WIPO	**World Intellectual Property Organization**

1. The Global Environment Facility (GEF) prepared this progress report for the forty second session of the Subsidiary Body for Implementation (SBI 42) to the United Nations Framework Convention on Climate Change (UNFCCC), as per guidance given:

(a) At the thirty-second session of the SBI, whereby GEF was invited to provide half-yearly progress reports on the implementation of the activities receiving support under the Poznan strategic programme; and

(b) At the forty-first session of the SBI, the SBI noted the areas of collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programmee and the Climate Technology Centre and Network (CTCN) and invited the GEF to report on this collaboration as part of its future progress report.

2. The report covers the period of July 2014 to March 2015. Details of the key relevant guidance from the past UNFCCC Conferences of the Parties (COP) and the SBIs are listed in the following paragraphs.

Part I. Relevant UNFCCC guidance

3. The Conference of the Parties to the UNFCCC at its fourteenth session (COP 14) welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) in COP decision 2/CP.14, as "a step towards scaling up the level of investment in technology transfer in order to help developing countries address their needs for environmentally sound technologies" and recognized "the contribution that this strategic programme could make to enhancing technology transfer activities under the Convention."

4. COP decision 2/CP.14, in Paragraph 2, requested the GEF:

(a) To promptly initiate and expeditiously facilitate the preparation of projects for approval and implementation under the strategic programme referred to in paragraph 1 in order to help developing countries address their needs for environmentally sound technologies;

(b) To collaborate with its implementing agencies in order to provide technical support to developing countries in preparing or updating, as appropriate, their technology needs assessments using the updated handbook for conducting technology needs assessments for climate change published by the United Nations Development Programme, to be made available in early 2009 in collaboration with the Expert Group on Technology Transfer, the UNFCCC secretariat and the Climate Technology Initiative;

(c) To consider the long-term implementation of the strategic programme, including: addressing the gaps identified in current operations of the Global Environment Facility that relate to investment in the transfer of environmentally sound technologies; leveraging private-sector investment; and promoting innovative project development activities;

(d) To report on the progress made in carrying out the activities referred to in paragraph 2 (a-c) above to the Conference of the Parties at its sixteenth session, in addition to providing interim reports to the Subsidiary Body for Implementation at its thirtieth and thirty-first sessions, with a view to assessing its progress and future direction in order to help inform Parties in their consideration of long-term needs for implementation of the strategic programme.

5. In accordance with decision 2/CP.14, the GEF presented interim reports to SBI 30 and SBI 31 on the progress made in carrying out the Poznan Strategic Program on Technology Transfer. Subsequently, the conclusions of SBI 31 (FCCC/SBI/2009/15, paragraph 67) invited the GEF to provide a report on the progress made on the implementation of this program at SBI 32, including on the long-term aspects of the Poznan Strategic Program. In response to the above conclusions of SBI 31, the GEF presented an interim report to SBI 32.

6. In accordance with decision 2/CP.14, the GEF presented a report to COP 16 on the progress made in carrying out the activities of the Poznan Strategic Program on Technology Transfer.

7. Conclusions from SBI 34 agenda item 12 on the development and transfer of technologies (FCCC/SBI/2011/7, paragraphs 134–137) stated the following:

(a) The SBI noted the oral report by the GEF and expressed its appreciation to the GEF and its agencies, the United Nations Development Programme and the United Nations Environment Programme on the progress made in carrying out the Poznan strategic programme on technology transfer.

(b) The SBI welcomed the progress made in providing technical and financial support to assist 36 non-Annex I Parties in developing and updating their technology needs assessments (TNAs). The SBI noted that many non-Annex I Parties expressed their interest to conduct or update their TNAs. The SBI recommended that the COP, at its seventeenth session, invite the GEF to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs, noting the availability of the updated handbook *Conducting Technology Needs Assessments for Climate Change*.

(c) The SBI welcomed the progress made by the GEF in providing support for piloting priority technology projects as part of the Poznan strategic programme. The SBI noted that the pilot project proposals submitted by non-Annex I Parties and supported by the GEF included only one project on technologies for adaptation. The SBI also noted the importance of projects on technologies for adaptation, including on the development and strengthening of local knowledge, and invited the GEF, Parties and relevant organizations in a position to do so to provide financial support for project proposals, including those for pilot projects, of the types supported by the Poznan strategic programme related to technologies for adaptation.

(d) The SBI recalled the conclusions of its thirty-second session inviting the GEF to provide half-yearly progress reports on the implementation of the activities receiving support under the Poznan strategic programme. It invited the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by the SBI at its thirty-fifth and subsequent sessions, for the duration of the Poznan strategic programme.

8. Conclusions from SBI 35 agenda item 11on the development and transfer of technologies (FCCC/SBI/2011/17, paragraphs 95–100) stated the following:

(a) The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer, including its long-term implementation, as invited by the SBI at its thirty-fourth session.
(b) The SBI acknowledged the support provided by the GEF for the implementation of technology transfer pilot projects and for the conduct of technology needs assessments (TNAs). It further acknowledged the progress made in implementing the long-term programme on technology transfer. Furthermore, it urged the GEF and Parties to expedite the process for the early implementation of projects submitted before 30 September 2009.
(c) The SBI encouraged non-Annex I Parties to develop and submit project proposals, particularly for technologies for adaptation, to the GEF in line with elements of the long-term programme on technology transfer described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47. The SBI invited the GEF to raise awareness of the long-term programme on technology transfer.
(d) The SBI invited the GEF to support the operationalization and activities of the Climate Technology Centre and Network without prejudging any selection of the host.

9. In accordance with SBI 34 agenda item 12 conclusions, and their reiteration by SBI 35 agenda item 11, the GEF presented its progress in carrying out activities under the Poznan strategic program and its Long Term Implementation Program to COP 17, SBI 36 and SBI 37.

10. Conclusions of SBI 36 agenda item 12, Development and transfer of technologies (c) Poznan strategic programme on technology transfer (FCCC/SBI/2012/15, paragraphs 195-200), stated that:

(a) The SBI noted the report by the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer, as invited by SBI 34;

(b) The SBI noted the support provided by the GEF for the implementation of technology transfer pilot projects under the Poznan strategic programme and the views expressed by Parties on the need to balance support for mitigation and adaptation projects. It invited the GEF to enhance the balance between adaptation and mitigation projects in the long-term implementation of the Poznan strategic programme, including by enhancing its outreach and awareness-raising efforts on funding opportunities for projects related to technologies for adaptation. It recalled its conclusion at SBI 35 encouraging non-Annex I Parties to submit project proposals, particularly for technologies for adaptation, to the GEF in line with the elements of the long-term programme described in document FCCC/SBI/2011/14, annex, paragraphs 46 and 47;

(c) The SBI invited the GEF and its implementing agencies to expedite the process for the implementation and completion of the remaining technology transfer pilot projects submitted in 2009 for support under the Poznan strategic programme;

(d) The SBI acknowledged the support provided by the GEF to assist 36 non-Annex I Parties in conducting their TNAs. It recalled decision 11/CP.17, paragraph 2, which invited the GEF, in the context of TNAs, to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs;

(e) The SBI recalled the conclusion at SBI 34 inviting the GEF to provide reports on the progress made in carrying out its activities under the Poznan strategic programme, including its long-term implementation, for consideration by SBI 35 and subsequent sessions. The SBI invited the GEF in its future progress reports to further elaborate on:

1) The activities undertaken by the GEF to enhance its outreach and awareness raising efforts on funding opportunities for projects related to technologies for adaptation in order to address the need for balanced support for projects related to technologies for adaptation;

2) Experiences gained and lessons learned, including success stories and challenges faced in carrying out the activities under the Poznan strategic programme;

3) Progress made by its implementing agencies in the delivery of technology transfer under the Poznan strategic programme;

4) The efforts carried out to support, pursuant to decision 2/CP.17, the operationalization and activities of the CTCN.

(f) The SBI stressed the need for the further implementation of the element of the Poznan strategic programme included in document FCCC/SBI/2012/9, paragraph 23(a), to be aligned with, and to enable, the operationalization and activities of the Climate Technology Centre (CTC) and its Network, taking into account document FCCC/SBI/2012/15, paragraphs 185 and 187, and decision 2/CP.17, paragraph 140.

11. Conclusions of SBI 37 agenda item 13(c) (FCCC/SBI/2012/33, paragraphs 121–124) stated the following:

(a) The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer

(b) The SBI acknowledged the support provided by the GEF to assist 36 Parties not included in Annex I to the Convention (non-Annex I Parties) in conducting their TNAs. It reiterated decision 11/CP.17, paragraph 2, in which the GEF was invited to continue to provide financial support to other non-Annex I Parties, as appropriate, to conduct or update their TNAs. It invited the GEF to report on its support provided to other non-Annex I Parties to conduct or update their TNAs in its report to the Conference of the Parties at its nineteenth session.

(c) The SBI stressed the need for the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network, which should be aligned with, and support, the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140.

(d) The SBI invited the GEF to consult with the CTCN, through its advisory board, on the support the GEF will provide for the work of the CTCN and to report on the findings of those consultations to the COP at its nineteenth session.

12. Under SBI 39 agenda item 13(c), Poznan strategic programme on technology transfer (FCCC/SBI/2013/20, paragraphs 134–138):

(a) The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.

(b) The SBI acknowledged the support provided by the GEF to assist 36 Parties not included in Annex I to the Convention (non-Annex I Parties) in conducting their technology needs assessments and welcomed the financial and technical support that the GEF will provide to 24 non-Annex I Parties for conducting or updating their technology needs assessments.

(c) The SBI noted the report of the GEF on the findings of its consultations with the CTCN, through its Advisory Board, as requested at SBI 37.

(d) The SBI invited the GEF to continue to consult with the CTCN, through its Advisory Board and the United Nations Environment Programme as the host of the Climate Technology Centre, on the support that the GEF will provide for the work of the CTCN and to report on the concrete results of the consultations at SBI 40 (June 2014).

(e) The SBI reiterated the need to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140.

13. Under SBI 40 agenda item 11(b), Poznan strategic programme on technology transfer (FCCC/SBI/2014/8):

(a) The SBI invited the GEF to continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and to report on its findings for consideration at SBI 41.

(b) The SBI recalled its conclusions at SBI 39, namely the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140 and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI 41.

(c) The SBI welcomed the approval by the GEF Council of a new project of the United Nations Environment Program (UNEP) which provides technical and financial support to 27 non-Annex I Parties for conducting or updating their TNAs and technology action plans, as well as the approval of six national projects incorporating TNA support activities.

(d) The SBI invited the GEF to further support the implementation of the results of TNAs, including technology action plans and project ideas prepared by non-Annex I Parties.

14. Under SBI 41 agenda item 12(b), Poznan strategic programme on technology transfer (FCCC/SBI/2014/21):

(a) The SBI welcomed the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer.

(b) The SBI noted the consultations between the GEF and the Advisory Board of the CTCN and the progress made on aligning the implementation of the element of the Poznan strategic programme related to support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, which were carried out in response to an invitation from SBI 40. It also noted the areas of collaboration between the regional technology transfer and finance centres supported by the GEF under the Poznan strategic programme and the CTCN and invited the GEF to report on this collaboration as part of its future progress reports.

Part II. Implementation of the Poznan Strategic and Long-Term Programs on Technology Transfer

15. The transfer of low-carbon and climate-resilient technologies has been a key cross-cutting theme for the GEF since the establishment of its funds. The GEF-6 climate change mitigation strategy, for the period of July 2014 to June 2018, promotes the timely development, demonstration and financing of low-carbon technologies and mitigation options. The GEF supports the development, adoption, and transfer and implementation of policies, regulations and financial or organization mechanisms that accelerate mitigation technology innovation and uptake.[1] Similarly, the results-based management framework for the Special Climate Change Fund (SCCF) and the Least Developed Countries Fund (LDCF) includes climate-resilient technologies and practices adopted and scaled up as one of ten overarching outcomes of the funds.[2] The entire GEF climate change portfolio can be characterized as supporting technology transfer as defined by the Intergovernmental Panel on Climate Change (IPCC) and by the technology transfer framework adopted by COP 7.[3]

16. In November 2008, the GEF Council and the LDCF/SCCF Council approved the Strategic Program on Technology Transfer, which included a funding window of $50 million with $35 million from the GEF Trust Fund and $15 million from the SCCF Program for Technology Transfer (SCCF-B). This program included three funding windows to support technology transfer under the Poznan Strategic Program, namely: (1) TNAs; (2) piloting priority technology projects linked to TNAs: and (3) dissemination of GEF experience and successfully demonstrated Environmentally Sound Technologies (ESTs).

17. In December 2008, COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries. In response to decision 2/CP.14, the GEF submitted a Long-Term Program on Technology Transfer to COP 16. The GEF submission included the

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[1] GEF-6 Programming Directions. https://www.thegef.org/gef/sites/thegef.org/files/webpage_attached/GEF6_programming_directions_final_0.pdf

[2] GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund. https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.LDCF_.SCCF_.16.03,%20Programming%20Strategy%20on%20Adaptation%20to%20Climate%20Change%20for%20the%20LDCF%20and%20the%20SCCF,%205-20-14.pdf

[3] Decision 4/CP.7.

following elements to further scale up investment in (ESTs in developing countries in accordance with the GEF climate change strategy, and to enhance technology transfer activities under the Convention[4]:

(a) Support for Climate Technology Centers and a Climate Technology Network (CTCN);

(b) Piloting Priority Technology Projects to Foster Innovation and Investments;

(c) Public-Private Partnership (PPP) for Technology Transfer;

(d) TNAs; and,

(e) GEF as a Catalytic Supporting Institution for Technology Transfer.

18. The following sub-sections describe progress made in each of the five elements of the Long-Term Program on Technology Transfer.

A. Support for Climate Technology Centers and a Climate Technology Network

19. The GEF is supporting the CTCN and four regional projects listed in Table 1. These projects receive funding from the GEF Trust Fund (TF) for mitigation as well as from the SCCF-B in support of adaptation. The regional projects are generating lessons learned to help inform the Technology Mechanism, in particular the CTCN, and facilitate coordination and cooperation on climate technology development and transfer.

20. Details on the results of the GEF consultation and collaboration with the CTCN, in response to invitations from SBI 37, SBI 39, SBI 40 and SBI 41, are presented in Part III of this report.

Table 1 GEF Projects for Climate Technology Transfer and Financing Centers and for CTCN

			GEF financing ($ millions)			
Title	*Region*	*Agency*	*GEFTF*	*SCCF*	*Co-financing ($ millions)*	*Status*
Promoting accelerated transfer and scaled up deployment of mitigation technologies through the Climate Technology Centre & Network (CTCN)	Global	UNIDO	1.8	0	7.2	Project Identification Form approved (June 2014)
Pilot Asia-Pacific Climate Technology Network and Finance Center	Asia and Pacific	ADB/ UNEP	10.0	2.0	74.7	Under implementation
Pilot African Climate Technology Finance Center and Network	Africa	AfDB	10.0	5.8	89.0	Under implementation
Regional Climate Technology Transfer Center	Europe and Central Asia	EBRD	10.0	2.0	77.0	Under implementation
Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean	Latin America and the Caribbean	IDB	10.0	2.0	63.4	Under Implementation

21. At the national level, one project was approved by the GEF Council during the reporting period, aiming at developing climate technology transfer and financing mechanisms. The project[5] in Ukraine by

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[4] The GEF notes that three of the long-term elements (piloting projects, TNAs and GEF as a catalytic supporting institution) are a direct continuation and scaling up of the three elements of the initial Poznan Strategic Programme (as per paragraph 17 above). Refer to FCCC/CP/2013/3, annex, paragraph 140.

[5] The project title is "Finance and Technology Transfer Centre for Climate Change (FINTECC)".

EBRD was approved in October, 2014. This project aims to develop and demonstrate innovative policy and technical assistance packages and support development of performance-based financing mechanisms to increase investment in climate technologies in Ukraine.

22. Description of the GEF- and SCCF-funded regional and national projects supporting climate technology centers and networks for climate technology transfer and financing are presented in Appendix 1.

B. Piloting Priority Technology Projects to Foster Innovation and Investments

b.1. Technology Transfer Pilot Projects within the Poznan Strategic Program

23. Guided by COP decision 2/CP.14, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program issued in March 2009 led to the selection of 14 proposals. During the call for proposals, only one proposal for adaptation was received. This proposal was funded, along with three other proposals that included adaptation elements. Total GEFTF and SCCF-B funding for the 14 pilot projects amounted initially to $58 million, and total co-financing for these projects initially came to more than $195 million.

24. Eleven projects have been endorsed by the GEF Chief Executive Officer (CEO) and are progressing in their implementation. These are in: Cambodia, Chile, China, Colombia, Côte d'Ivoire, Jordan, Kenya, Mexico, Russian Federation, Sri Lanka, Swaziland and Thailand. The funding from the GEFTF and SCCF-B for these projects amounts to $49.4 million and $2.4 million, respectively, and the total co-financing amounts to $223.2 million and $5.7 million, respectively.

25. Three projects were cancelled upon request from the GEF agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.

26. The technologies targeted by the endorsed projects address both mitigation and adaptation, and are diverse and innovative. They include technologies on renewable energy (solar, biomass, wind), energy efficiency (insulation materials, efficient and hydro-chlorofluorocarbon (HCFC)-free appliances), transport ("green" trucks), and composting. For adaptation-related technologies, membrane drip irrigation, flood- and drought-resistant crops with sustainable land management practices, and reduction of wave energy impacts on communities and infrastructure were included.

27. In response to SBI 36 conclusions, the GEF requested the GEF Agencies to provide updates to further elaborate on the experiences gained and lessons learned in carrying out the Poznan pilot projects and progress made by the Agencies in the delivery of technology transfer. The compiled updates are presented in Appendix 2 and Appendix 3.

b.2. Technology Transfer Projects within the Long-Term Implementation of the Poznan Strategic Program

28. The GEF-6 climate change mitigation strategy continues to support technology development and transfer, which plays a central role in the global response to the challenges of climate change. The GEF-6 climate mitigation strategy has the following three strategic objectives to support developing countries and economies in transition to make transformational shifts towards a low emission development path:

1. Promote innovation, technology transfer, and supportive policies and strategies;
2. Demonstrate mitigation options with systemic impacts; and
3. Foster enabling conditions to mainstream mitigation concerns into sustainable development strategies.

The objectives and expected outcomes are shown in the Table 2.

29. Especially, program 1 and 2 under strategic objective 1 of the GEF-6 climate mitigation strategy are related to technology development and transfer.

Table 2: Climate change mitigation: GEF-6 Strategic objectives and programs

Climate Change Mitigation (CCM) Strategic Objectives	*Program*
1. Promote innovation, technology transfer, and supportive policies and strategies	**Program 1:** Promote timely development, demonstration and financing of low-carbon technologies and mitigation options **Program 2:** Develop and demonstrate innovative policy packages and market initiatives to foster new range of mitigation actions
2. Demonstrate systemic impacts of mitigation options	**Program 3:** To promote integrated low-emission urban systems **Program 4:** Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture
3. Foster Enabling Conditions to Mainstream Mitigation Concerns into Sustainable Development Strategies	**Program 5:** Integrate findings of Convention obligations enabling activities into national planning processes and mitigation contributions

30. Regarding adaptation, the GEF climate change adaptation program also continues to support technology transfer as a cross-cutting priority, in accordance with country demand in the period from July 1, 2014 to June 30, 2018. Support for the transfer of adaptation technologies will be monitored at the portfolio level under Outcome 1.3 for the LDCF and the SCCF shown in Table 3.

Table 3: Climate change adaptation: objectives and expected outcomes for the LDCF and SCCF

Climate Change Adaptation (CCA) Strategic Objectives	*Expected Outcomes*
Objective 1; Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change	Outcome 1.1; Vulnerability of physical assets and natural systems reduced Outcome 1.2; Livelihoods and sources of income of vulnerable populations diversified Outcome1.3; Climate-resilient technologies and practices adopted and scaled up
Objective 2; Strengthen institutional and technical capacities for effective climate change adaptation	Outcome 2.1; Increased awareness of climate change impacts, vulnerability and adaptation Outcome 2.2; Improved scientific and technical knowledge base for the identification, prioritization and implementation of adaptation strategies and measures Outcome2.3; Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels Outcome2.4; Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
Objective 3; Integrate climate change adaptation into relevant policies, plans and associated processes	Outcome 3.1; Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened Outcome 3.2; Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures Outcome 3.3; Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened

31. During the reporting period, for climate mitigation, four projects with technology transfer objectives were approved with $18.9 million of GEF funding and $262.6 million of co-financing. These include one

project supporting small hydro power development, one project aiming to establish a finance and technology transfer center, one addressing urban mobility, and one project launching energy efficiency financing facility. For climate adaptation, eighteen projects to adopt technology were approved with $132.8 million from LDCF and SCCF, and $509.2 million of co-financing. The lists of these projects are presented in Appendix 4.

C. Public-Private Partnerships for Technology Transfer

32. The PPP programs can be a strong tool for promoting technology transfer by supporting businesses in developing countries that are trying to commercialize or scale up ESTs. The GEF supports transformational change in the private sector through a variety of channels, such as innovative concessional financial instruments to mobilize private finance, and demonstration of innovative approaches that has the potential to be scaled up.

33. Drawing on its experience in utilizing debt, equity and guarantee products in the past, the GEF launched in October 2014 a $110 million non-grant pilot to demonstrate and validate the use of innovative financial mechanisms and business models to combat global environmental degradation across all GEF's areas of work, including climate change, forests/REDD+, and biodiversity. One project aligned with technology transfer has been approved (see Appendix 4).

34. The pilot will play a key role in supporting the GEF's efforts to leverage significant capital from the private sector through the use of innovative and flexible financial instruments. Proposals are especially encouraged if they demonstrate innovative private and public sector application of financial mechanisms, business models, partnerships and approaches for achieving the objectives of GEF-6 focal area strategies that may be broadly adopted and can be scaled up. The GEF intends to commit a first round of funding for projects under the pilot in June 2015, and a second round in November 2015.

D. Technology Needs Assessments

d.1. Technology Needs Assessment support within the Poznan Strategic Program

35. The first TNA project (TNA Phase 1) aimed to provide targeted financial and technical support to assist 36 developing countries in developing and/or updating their TNAs within the framework of Article 4.5 of the UNFCCC and to support them in preparing Technology Action Plans (TAPs). The project sought to use methodologies in the updated TNA Handbook and to provide feedback to fine-tune the methodologies through an iterative process.

36. The first TNA project concept, under the Poznan Strategic Program, was approved by the LDCF/SCCF Council in April 2009 and endorsed by the GEF CEO in September 2009. Project implementation by UNEP started in October 2009 and was completed in April 2013. Total SCCF-B funding for this project is $9 million.

37. TNA Phase I supported 36 countries between 2009 and 2013. TNA reports were submitted by 11 countries in Africa and Middle East, 13 countries in Asia and Eastern Europe, and 8 in Latin America and Caribbean. These countries were:

(a) Africa & Middle East
Cote d'Ivoire, Ghana, Kenya, Lebanon, Mali, Mauritius, Morocco, Rwanda, Senegal, Sudan, Zambia, Ethiopia

(b) Asia & CIS
Azerbaijan, Bangladesh, Bhutan, Cambodia, Georgia, Indonesia, Kazakhstan, Laos, Moldova, Mongolia, Nepal, Sri Lanka, Thailand, Vietnam

(c) Latin America & Caribbean
Argentina, Bolivia, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Peru

d.2. Technology Needs Assessment support within the Long-Term Implementation of the Poznan Strategic Program

38. Progress achieved under the Poznan Strategic Program, particularly in the development of pilot projects and TNAs, has highlighted the need to go beyond current practices to catalyze investments in technology transfer. The second TNA project concept was approved by the GEF Council in April 2013 and endorsed by the GEF CEO in August 2014. Total GEF funding for this project is $6.1 million. Project implementation by UNEP started in November 2014. Two additional countries that participated in TNA Phase I (namely Kazakhstan and Lao PDR) will be supported in concluding their TAP reports. The Phase II countries are:

(a) Africa & Middle East:
Burkina Faso, Burundi, Egypt, Gambia, Jordan, Madagascar, Mauritania, Mozambique, Seychelles, Swaziland, Tanzania, Togo, Tunisia
(b) Asia & CIS:
Armenia, Malaysia, Philippines, Uzbekistan, Turkmenistan, Pakistan, Kazakhstan, Lao PDR
(c) Latin America & Caribbean:
Belize, Bolivia, Grenada, Guyana, Honduras, Panamá, Uruguay

39. The project team has started conducting the country inception missions and working on the development of some new or improved guidebooks/methodologies. The project team is planning to organize an Internal Capacity Building Workshop for the project team and regional support centres in March 2015, and in the second quarter of FY2015, it will roll-out the first series of regional TNA capacity building workshops for the national TNA teams in Asia, Africa and Latin America. In collaboration with the UNFCCC Secretariat and the CTCN, the project team is planning a first Global Launching/Experience Sharing Workshop in May 2015 at which representatives from all countries participating in the TNA Phase II will learn from the experience shared by some representatives from countries that successfully carried out TNAs in the past.

40. In addition, during the reporting period, the GEF Council approved two national projects incorporating TNA support activities in projects otherwise focused on the preparation of National Communications (NCs) and Biennial Update Reports (BURs):

(a) One project in Papua New Guinea by UNEP includes the preparation of a TNA;

(b) One project in Botswana by UNDP include the updating of existing TNA.

Under the GEF-6 Strategy, support for TNAs will be made eligible through the CCM focal area set-aside for small island developing states and least developed countries. Support to other countries' TNAs may be possible using GEF-6 national allocations.

E. GEF as a Catalytic Supporting Institution for Technology Transfer

41. The GEF Secretariat participated in key international discussions supporting the development of technology transfer initiatives and raised awareness of the Long-Term Program during the reporting period. Examples include:

(a) 'Thematic dialogue on Climate Technology Financing', during the ninth meeting of the Technology Executive Committee held in Bon, Germany, on August 18-21, 2014;

(b) The fourth meeting of the CTCN Advisory Board, held in Copenhagen, Denmark, on October 8-10, 2014 (as an observer);

(c) 'Dedicated meeting on ways and means to advance the technical examination process in 2015', during ADP 2.8 in Geneva, Switzerland, on February 8-13, 2015;

(d) The Tenth meeting of the Technology Executive Committee (TEC), held in Bonn, Germany, on March 9-12, 2015.

42. The GEF website is updated periodically with specific information on technology transfer.[6]

Part III. GEF consultation with the regional technology transfer and finance centres and the Climate Technology Centre and Network

43. In response to invitations from SBI 37, SBI 39, SBI 40 and SBI 41, during the reporting period, the GEF Secretariat, the CTCN and the GEF Agencies consulted on numerous occasions. These consultations focused on: (i) development of a full project proposal by the CTCN and (ii) modalities enabling collaboration between the regional technology transfer and finance centres and the CTCN.

44. Regarding the first point, the GEF Secretariat and the CTCN discussed this matter during the CTCN Advisory Board in October and COP 20 in December, 2014. The CTCN is currently preparing the full project document taking into account suggestions from the GEF Secretariat. The project document will include details of 5 to 6 projects supported by the CTCN. These projects will serve as pilots for future CTCN-related outputs that could be further developed as GEF-6 country-driven projects with concrete mitigation benefits. They will also help the CTCN to design and test a framework through which it will work with financing institutions to help developing countries design requests that comply with the requirements of financing institutions and therefore be conducive to financial support and implementation.

45. Regarding the second point, the GEF, the regional development banks, and the CTCN have discussed the need to strengthen their efforts to ensure coherence and synergies with the aim of accelerating the development and transfer of climate technologies. They recognize that improving coordination and taking better advantage of their complementarities, in accordance with the respective mandates of the individual institutions, would increase the impact of the initiatives on climate technology transfer. Some initiatives have been started: for example, the regional centres have worked with the CTCN partner institutions, and the regional development banks supporting the regional centres have engaged in some of the CTCN requests. The Pilot Asia-Pacific Climate Technology Network and Finance Center (CTNFC) by ADB and UNEP, as mentioned in Section A above, has supported National Designated Entities (NDEs) and its country readiness for the CTCN and the operationalization of the CTCN in Asia-Pacific. It has focused on supporting countries in developing request for technical assistance to the CTNFC and the CTCN, and held training workshops for countries and relevant national and regional climate technology centers. It plans to hold additional networking meetings for countries and institutions to promote and generate national and regional technical assistance requests to the CTNFC and the CTCN.

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[6] This information can be accessed from: http://www.thegef.org/gef/technology_transfer

Appendix 1. Technology Transfer Projects Support in line with the Long-Term Program on Technology Transfer

1. This appendix summarizes the status of preparation and implementation of GEF supported initiatives under the first item of the Long-Term Program on Technology Transfer: Support for Climate Technology Centers and a Climate Technology Network. The appendix presents the progress made by the GEF Agencies in the delivery of the associated projects and summarizes experiences gained and lessons learned so far.

2. In December 2008, COP 14 welcomed the GEF's Strategic Program on Technology Transfer (renaming it the Poznan Strategic Program on Technology Transfer) as a step toward scaling up the level of investment in the transfer of ESTs to developing countries. In response to decision 2/CP.14, the GEF submitted a Long-Term Program on Technology Transfer to COP 16. The GEF submission included the following elements to further scale up investment in ESTs in developing countries in accordance with the GEF climate change strategy, and to enhance technology transfer activities under the Convention:

    (a) Support for Climate Technology Centers and a Climate Technology Network;

    (b) Piloting Priority Technology Projects to Foster Innovation and Investments;

    (c) PPP for Technology Transfer;

    (d) Support for TNAs; and

    (e) GEF as a Catalytic Supporting Institution for Technology Transfer.

3. The GEF funded regional and national projects supporting climate technology centers, networks for climate technology transfer and financing are in early phases of implementation. Information on their implementation status and experience, provided by the GEF Agencies concerned, is summarized below.

4. ***Promoting Accelerated Transfer and Scaled-up Deployment of Mitigation Technologies through the CTCN (UNIDO).*** The project concept proposal was approved by the GEF CEO in June 2014.

5. UNIDO has been preparing the full project proposal for the GEF CEO approval before June 2015. This project is expected to serve as a pilot to highlight possible options for future CTCN-related outputs to be further developed as GEF-6 projects with concrete mitigation benefits, using GEF country allocations, in a country-driven manner.

6. The project is also expected to help the CTCN design and test a framework through which it will work with financing institutions to help developing countries design requests that would comply with the requirements of financing institutions and therefore be conducive to financial support and concrete implementation. To lay the ground of this collaboration, the CTCN co-organized with the GEF Secretariat a workshop on October 7, 2014 to bring together the CTCN Advisory Board chair, the TEC chair and vice chair, and the representatives from the regional development banks and the World Bank, with the objective of facilitating joint efforts and potential cooperation among development agencies and the Technology Mechanism to accelerate Climate Technology Transfer.

7. Out of a larger portfolio of country requests to be received by the CTCN, the baseline project is limited to a subset of seven requests for technical assistance (partly involving investment in climate technologies) that are representative of the CTCN's overall portfolio. Global environmental benefits are expected to occur due to the investments materialized during the project's time horizon and as a result of transformational change in the 10-year period thereafter.

8. During the project preparation substantial work has been done to nurture the portfolio of CTCN requests entailing the appropriate attributes. A tentative selection has been done and includes interventions of F-refrigerants substitution (Chile), waste treatment (Colombia), energy-efficient lighting (Dominican Republic), agricultural productive use (Mali), energy efficiency in industry (Senegal), geothermal energy policy (Uganda), bio-waste minimization and valorization (Vietnam).

9. ***Pilot Asia-Pacific Climate Technology Network and Finance Center (CTNFC) (ADB and UNEP).*** The project was endorsed by the GEF CEO in May 2012, and has started implementation. This is a joint initiative of the UNEP and ADB, recognizing the importance of technology transfer in the global response to climate change. The project objective is to pilot a regional approach to facilitating deployment of climate technologies (mitigation and adaptation) that combines capacity development, enhancement of enabling environments for market transformation, financial investments and investment facilitation. It is also designed as a regional pilot for the CTCN complemented by a link to finance through the partnership with the ADB. Its second steering committee meeting (with ADB, UNEP, and the GEF) was held in November 2013, and its third Steering Committee is expected to be held in the second Quarter of 2015.

10. As of February 2015, the project has reported the following progress:

    (a) The project supports the engagement of venture capital (VC) and private equity (PE) funds in climate technologies through creation of opportunities for increased investments and an enabling environment. Three capacity development programs for clean technology entrepreneurs have been supported – two in India in partnership with Infuse Ventures, and a third in collaboration with World Bank's Climate Innovation Center in Viet Nam – to help create a pipeline of climate technology businesses that will attract investments by VC and PE funds. The project is also supporting the Asia Climate Partners (ACP), a joint PE venture through ADB's Private Sector Operations. ACP seeks to invest in a variety of climate technology transactions in the Asia-Pacific region.

    (b) The project launched IPEx Cleantech Asia, the first cleantech intellectual property transfer marketplace in Asia, during COP 20 in Lima, Peru. The marketplace will operate as a match-making platform that brings together selected low carbon technology holders with those seeking to acquire these technologies. Through partnerships with the World Intellectual Property Organization (WIPO) including WIPO Green, and other low carbon initiatives in North America and Europe, the project is building a network to support the operation of the marketplace.

    (c) Technical support and advisory service have been extended for four mitigation and four adaptation projects in ADB's investment pipeline. Currently the project is in discussions to provide technical support and advisory service to four additional mitigation projects in ADB's investment pipeline: (i) urban services and ger areas development investment program in Mongolia, (ii) waste-to-energy in Xiangjiang river basin project in China, (iii) promoting energy efficiency in the Pacific (phase 2), and (iv) sustainable urban transport investment program (tranche 3) in Georgia.

11. The project facilitate a network of national and regional technology centers, networks, organizations, and initiatives, and support or strengthen national and regional technology transfer centers and centers of excellence. The majority of focal points designated by the countries are their National Designated Entities (NDEs) or representatives from their NDE, and the activities agreed with the partner countries mainly support 'country readiness' for the CTCN (i.e. strong focus on support to NDEs) and the operationalization of the CTCN in Asia-Pacific (i.e. strong engagement of climate technology centres/institutions from the region, and pilot technical assistance activities in response to country requests).

12. In 2014, the activities focused on supporting countries in developing requests for technical assistance to the CTNFC (and the CTCN) for the implementation of key priorities identified their TNAs/TAPs. Regional networking was facilitated through meetings and training workshops for countries and relevant national and regional climate technology centers to exchange institutional and technological know-how. The training workshops also supported the strengthening of capacities of identified climate technology centers and led to direct technical assistance for the promotion of green productivity within industry.

Various studies were commissioned to develop national and regional standards and regulations in priority climate technologies in order to support the national capacity for such policies. Moreover, technical assistance activities were initiated in a few countries to support policies, programs, and projects that promote the transfer and dissemination of ESTs.

13. The outlook for 2015 includes additional networking meetings for countries and institutions to share knowledge and also to promote collaboration in the generation of national and regional technical assistance requests to the CTNFC and the CTCN. Specialized workshops will be organized with partner institutions and countries with a focus on regional prioritized climate technologies and/or enabling policies and mechanisms. UNEP and ADB are discussing potential areas and project ideas for joint technical assistance activities and ADB investment in partner countries. The future activities will accelerate the capacity of technical assistance provided to countries and encourage regional and national cooperation.

14. ***Regional Climate Technology Transfer Center (EBRD).*** The project has been endorsed by the GEF CEO in July 2013 and has started implementation. This project aims to accelerate investments in climate change mitigation and adaptation technologies in the Early Transition Countries (ETCs) and Southern and Eastern Mediterranean (SEMED) countries. It also aims to incentivize deployment of climate technologies with low market penetration, in order to create demonstration projects across these countries. The project is expanding the EBRD Sustainable Energy Business Model to the area of climate technology transfer, combining technical assistance (for policy makers and projects) with financial support to kick-start the market for climate technology investments in the ETCs and SEMED countries.

15. The key focus of the technical assistance is on: (i) developing market assessment and monitoring techniques being delivered in partnership with the International Energy Agency and Food and Agriculture Organization of the United Nations; (ii) project assessment techniques for climate change mitigation and adaptation technologies (including climate resilience); (iii) creation and/or support of networks; (iv) assistance to individual investment projects incorporating advanced climate technologies; and (v) establishment of regional technology transfer networks for knowledge sharing. It is expected that up to twenty five projects in ETCs and up to fifteen projects in SEMED countries will be supported between 2014 and 2016.

16. As part of the project activities the EBRD has also undertaken training of local consultants in Armenia, with the plan to further roll out the trainings during the 2015 to Moldova. The cooperation with the IEA and FAO on the development of market monitoring and assessment techniques is well under way and the first expert session on climate technology policies was held in Paris in September 2014, and will be followed with a regional conference in Istanbul, planned for June/September 2015.

17. As of March 5, 2015, the project has committed a total support of $1.53 million to nine projects approved, with the support to be disbursed upon installation and verification of climate technologies. These approved projects are promoting mainly technologies in the built environment and small and medium enterprises such as light emitting diode (LED) lighting, building integrated solar-thermal, trigeneration, and energy management systems. The total climate change mitigation impact of the projects once implemented will be 112,000 ton CO_2 reduction over 10 years. $5.2 million out of the total climate change mitigation investments went towards deployment of best available climate technologies with very low market penetration, underdeveloped supply chains and high replication potential.

18. ***Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean (IDB).*** The project was endorsed by the GEF CEO in September 2014. IDB is signing the legal agreements with the executing agencies: Instituto Nacional de Ecología y Cambio Climático, Mexico, Fundación Bariloche, Argentina, World Resources Institute/Embarq, U.S.A., Centro Agronómico Tropical de Investigación y Enseñanza, Costa Rica and IDB and the Secretariat for the Regional Fund for Agricultural Technology.

19. The project aims to promote the development and transfer of environmentally sustainable technologies in

Latin America and the Caribbean (LAC), in order to contribute to the ultimate goal of reducing greenhouse gas emissions and reducing the vulnerability to climate change in specific sectors in LAC. The project's strategy is to build the national capacities to identify, assess, develop and transfer ESTs, focusing on: (i) the promotion of and support to regional collaborative efforts; (ii) the support to planning and policy-making processes at national and sectoral levels; (iii) the demonstration of policies and enabling mechanisms; and, (iv) the mobilization of private and public financial and human resources.

20. The IDB is collaborating with UNEP with a view to ensuring that the efforts under the project will also contribute to the region's capabilities to engage with and participate in the Technology Mechanism under the UNFCCC. The IDB and UNEP have identified collaborations around the objectives on regional capacity building, as well as enhanced interaction with regional organizations that are also members of the UNEP-led consortium hosting the CTCN.

21. ***Pilot African Climate Technology Finance Center and Network (AfDB).*** The project has been endorsed by the GEF CEO in April 2014 and is under implementation.

22. The project supports the deployment of technologies for both climate change mitigation and adaptation in Sub-Saharan Africa by: (i) catalyzing public and private finance for low-carbon technologies and climate resilient development projects; and (ii) assisting with integrating technology transfer considerations into developing countries' policies and investment programs and strengthening design and enforcement capacities of public institutions. Mitigation activities focus exclusively on the energy sector and are more specifically aligned with the Sustainable Energy for All (SE4ALL) initiative, whereas the adaptation activities focus exclusively on the water sector. The project intends to mobilize additional financing notably from AfDB managed instruments, such as the Sustainable Energy Fund for Africa (SEFA) or the African Water Facility (AWF).

23. The implementation of the project started with a first set of mitigation activities following requests received from the Governments of Kenya, Rwanda and Tanzania for assistance with the development of a SE4ALL Action Agenda outlining how the country envisages to achieve the energy access, renewable energy and energy efficiency objectives by 2030 and a SE4ALL Investment Prospectus identifying clean energy projects. The implementation of these activities are advancing and are expected to be completed by the second and their quarter of 2015. In addition, at the request of the Government of Ghana the Center is providing support to the economic and financial evaluation of mini-grid systems and solar home systems.

24. A second set of mitigation activities, also linked to the development of SE4ALL Action Agenda and Investment Prospectus(es) are under preparation, in support of the Democratic Republic of Congo, Angola, Malawi, Zimbabwe and Zambia, following receipt of Government requests. The recruitment of consulting firms to perform the technical assistance is underway for four out of the five countries and activities are scheduled to begin in the second quarter of 2015.

25. The project is also in the process of finalizing a framework contract facility with several consulting firms/consortia to assist Sub Saharan African countries with policy, institutional and organizational reforms for both the adaptation and mitigation components of the Center. The framework contract facility once in place will allow the Bank to respond quickly to specific requests for technical assistance including on upstream/early stage activities that will generate opportunities for crowding-in complementary financing from the Bank's own instruments such as SEFA or AWF. The Centre is also identifying in collaboration with the Bank's Department of Water and Sanitation a first set of adaptation activities to be supported by the center linked to the Bank's lending operations.

26. On the networking and communication component, the project is finalizing the contracting of a communication consultant and a firm to design its website and communication and networking tools, both contracts are foreseen to be signed in March 2015, marking the operationalization of the first component of the project.

27. ***Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries (UNEP).*** The project was endorsed in January 2013, and it is under implementation.

28. The project aims at reducing risks from increased desertification, floods and erosion, and sea level rise to the target communities in the identified project sites in Mauritania, Nepal and Seychelles respectively. The best practices from on-the-ground interventions supported through the SCCF grant are disseminated through the regional networks that are a part of the proposed project. The project also contributes towards developing evidence based indicators for ecosystem-based approaches to adaptation (EBA). The project is based in China with China's National Development and Reform Commission (NDRC) as the main executing partner, and leveraging a number of existing programs such as the South-South Cooperation, Africa Adaptation Network, the Global Adaptation to Climate Change Network and Asia-Pacific Adaptation Network.

29. Following the launch and inception phase of the project:

    (a) An inter-regional training workshop on Accessing Climate Change Adaptation Finance and Mainstreaming Ecosystem-Based Approach to Adaptation was jointly organized by UNEP-IEMP and APAN, in conjunction with the Asia-Pacific Climate Change Adaptation Forum 2014 and took place in Kuala Lumpur, Malaysia from 30 September 2014 to 3 October 2014. The joint organization of the workshop alongside of the Forum provided workshop participants with high quality learning and knowledge exchange opportunities with a number of policy-makers, practitioners and regional networks from the Asia-Pacific region.

    (b) A high-level panel session on Ecosystem-based Adaptation and Mitigation was organized at the South-South Cooperation on Climate Change Forum in Lima during COP 20 on 8 December 2014. This Forum was co-sponsored by NDRC and UNEP.

    (c) Draft EbA protocols have been developed for the three pilot countries. These draft protocol give a broad picture of EBA interventions in the different countries, including policy, natural systems, social economics, and M&E etc. Once validated by the country teams, the protocol will then be used to guide implementation.

30. ***Finance and Technology Transfer Centre for Climate Change (FINTECC) (EBRD).*** This project was approved in October, 2014, and is undergoing the preparation of detailed project proposal. This project aims to develop and demonstrate innovative policy and technical assistance packages and support development of performance-based financing mechanisms to increase investment in climate technologies in Ukraine. The Project will aim to contribute to achieving an energy efficient economy and increased energy security in Ukraine, while improving its energy self-sufficiency, in line with Ukraine 2030 Strategy.

31. The Project will benefit from and liaise with the regional framework developed through "*Regional Climate Technology Transfer Centre*" by EBRD, which is designed to support the climate technology market with a variety of instruments. The extension of the regional project into Ukraine will build on the findings of regional center's experience in Early Transition countries and the Southern and Eastern Mediterranean countries with individual activities and products tailored to the conditions and needs of the Ukraine.

Appendix 2. Implementation of the Poznan Strategic Program on Technology Transfer

1. This appendix summarizes the status of preparations and implementation under the Technology Transfer Pilot Projects supported within the framework of the Poznan Strategic Program on Technology Transfer. The appendix presents the progress made by the GEF Implementing Agencies in the delivery of pilot projects and summarizes experiences gained and lessons learned so far, as requested in SBI 36 agenda item 12 conclusions (see Part II of this document for overall reporting on the progress of the Poznan Strategic Program on Technology Transfer).

2. As indicated in paragraph 23 in this document, the call for proposals for technology transfer pilot projects under window two of the Poznan Strategic Program issued in March 2009 by the GEF CEO led to the selection of 14 proposals of pilot projects for funding, including 13 Full-Sized Projects (FSPs) and one Medium-Sized Project (MSP). Only one proposal for adaptation was received for a project in Jordan; this proposal was funded, along with three other proposals that included adaptation elements. The total funding from the GEF Trust Fund and SCCF-B for the 14 pilot projects amounted to initially $58 million, and total co-financing for these projects initially came to more than $195 million.

3. As of March 2015, GEF Agencies charged with implementing these 14 pilot projects have reported progress in project preparation and implementation:

   (a) Eleven projects have been endorsed by the GEF CEO and are progressing in their implementation. These projects are taking place in Cambodia, Chile, China, Colombia, Cote d'Ivoire, Jordan, Kenya, Mexico, Russia, Sri Lanka, Swaziland and Thailand. The funding from the GEF Trust Fund and SCCF-B for these project amounts respectively to $49.4 million and $2.4 million, and the total co-financing amounts respectively to $223.2 million and $5.5 million.

   (b) Three projects were cancelled upon request from the GEF Agencies and/or the concerned national government, one in July 2011, one in February 2012 and one in June 2012.

4. Information, provided by the GEF Agencies concerned, on the implementation status and experience of the eleven CEO-endorsed projects during the reporting period is summarized below:

   (a) ***Cambodia: Climate Change related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions (UNIDO).*** The project is under implementation following GEF CEO Endorsement in May 2012.

   During the reporting period, technology developers, suppliers and users have been identified, in addition to the identification of technologies (more than 12 types). Over 40 technology suppliers principally from China, India and Thailand, Malaysia and Japan have been contacted and/or visited and over 40 detailed technical and financial offers of the biomass technology have been received and evaluated by project management unit and users. Till date 28 visits of technology suppliers to Cambodia have been arranged to facilitate technology tie ups with local partners and negotiations with potential clients.

   Originally 3 companies committed to the project (with co-financing letter). However, the original sectors (rice and rubber) and units could not implement the identified technologies. It was concluded in the last quarter of 2014 that it was not technologically and economically viable to implement captive power/co-generation. The principle reason for non-implementation and concerns, shared with the Project Steering Committee in February 2015, included notably intermittent nature of actual energy needs, insufficient availability of local biomass, lack of conducive environment (e.g. feed-in tariff), as well as significant changes affecting baseline assumptions including energy pricing.

   In light of this, it was suggested to expand to other sectors (breweries/beverage and distilleries, composite garment units having wet processing section, food processing, sugar units) where needs for thermal energy and electricity could justify an investment in own power generation. Some units in these sectors have already been contacted and visited, and technology suppliers are in the process of either submitting offers or finalizing/negotiating with the enterprises. It was also suggested to consider additional technological options, such as high efficiency gasifiers, wood-fired dryers, absorption chillers, and fuel substitution in industrial kilns.

Aside from this, activities on awareness raising and capacity building have progressed according to schedule. For instance, a cadre of more than 20 national experts from relevant promotional institutions and departments have been trained in technical and financial evaluation (detailed economic analysis). Training on biomass based co-generation was also conducted with leading technology developers.

(b) ***Chile: Promotion and Development of Local Solar Technologies in Chile (IDB).*** The project was endorsed by the GEF CEO in June 2012, and started implementation in November 2013. The project has begun to disburse in March 2014. The Project Execution Unit has been set up so far.

The Project will include: (i) the development of standards and monitoring protocols for solar panels and solar systems; (ii) training for public and private stakeholders on Concentrated Solar Power and Photovoltaic Systems, and (iii) public awareness campaign to promote solar technology projects for both solar water heating and power generation.

Currently IDB is proceeding to finalize the Amendment Agreement of this operation. This allows the request of a disbursement of US$ 640,000 to purchase and install the planned solar photovoltaic systems, implement monitoring systems, and additionally have expert consultancy to support the design of a line funding mechanism.

(c) ***China: Green Truck Demonstration Project (WB).*** Following its endorsement by the GEF CEO in March 2011, the project was launched in October 2011.

Through Phase I of Green Truck Technology Demonstration, three technologies were proved to have very marginal or no fuel-saving effects and will be eliminated from Phase II demonstration. Meanwhile, one new technology—light-weighted aluminum allot trailers—demonstrated considerable fuel-saving benefits and market popularity. This technology is now part of Phase II demonstration.

Monetary costs for some of Phase I technologies are relatively low, while transaction costs are relatively high (e.g. installation, tuning, and depreciation of regular tires). This creates reluctance for the pilot companies to apply demonstrated technology products, and lowers the attractiveness of corresponding subsidies and awards. As business expands, most trucking companies express strong interest in subsidies for new truck procurement, as it involves large capital expenditures for trucking companies. In Phase II demonstration the implementation agency will carefully assess and accommodate those needs from pilot companies, to scale up the demonstration effects.

With China's logistics sector booming, many large trucking companies are expanding their fleets. Capital needs for this expansion is mounting, which brings opportunities not only for scale-up of the green freight technologies and practices, but also for tapping private sector resources for leverage.

Some innovations of the Green Freight Demonstration are being adopted in Brazil. Clean Air Asia, one of the Bank's partners in green freight in China, has started a pan-Asian green freight program with support from donors and the private sector. To further enhance the project influence, the project team has participated in the China (Shenzhen) International Logistics and Transportation Fair on October 14 to 16, 2014.

(d) ***Colombia, Kenya, Swaziland; SolarChill: Commercialization and Transfer (UNEP).*** This project was initially approved with the World Bank as the Implementing Agency. However, the World Bank withdrew in 2010 from the project. The project was then re-submitted by UNEP with the addition of Swaziland. The project has been endorsed by the GEF CEO in February 2014 and is expected start implementation soon. The project is awaiting the co-financing commitment from the Ministry of Environment for Germany, following their decision to review their policy on co-financing as a whole before committing their co-financing to this project. The project will start once this matter has been resolved, and a legal agreement can be signed between the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and UNEP to execute the project.

(e) ***Cote d'Ivoire: Construction of 1000 Ton per day Municipal Solid Wastes Composting Unit in Akouedo Abidjan (AfDB).*** This project has been endorsed by the GEF CEO in October 2013 and is expected to start implementation soon. The project preparation faced significant challenges, as it coincided with the period of instability in the country, with changes in the political environment as well as in government priorities. The project implementation has been delayed in order to integrate it into a larger sustainable city planning project that could serve as a basis for GEF-6.

The project baseline is under preparation and expected to be approved by AfDB Board by June 2015. The project implementation will start at the same time with the baseline project, expected by October 2015.

(f) ***Jordan: DHRS Irrigation Technology Pilot Project to Face Climate Change Impact (IFAD).*** This adaptation project seeks to reduce the vulnerability of irrigated agriculture to climate change by testing innovative and efficient water-use technologies. The project was endorsed by the GEF CEO in May 2011 and has been re-designed, as initial field trials carried out during the project inception showed that the proposed technologies did not perform as expected under the local conditions. After the minor-amendment of the planned technologies, the project became effective in January 2014.

The project is currently finalizing the procurement plans that will secure all needed materials and equipment to start the new practices in the pilot farms. Additionally, the Ministry of Agriculture (the National Center for Agricultural Research and Extension (NCARE)) is providing for the complete mapping of the target sites in order to have a precise and shared baseline to better understand the development of the project. All maps are prepared using the latest geographic information system (GIS) software and will constitute as well an important knowledge sharing tool and will be disseminated in geographical browsers.

The project is ready to implement 7 new technologies in Jordan after a detailed work of peer reviewing within NCARE and other actors active in the sector of efficient irrigation development in the area. Project staff worked on collecting all available data and information to avoid duplication and to capitalize on lessons learned and best practices.

(g) ***Mexico: Promotion and Development of Local Wind Technologies in Mexico (IDB).*** The project was approved by IDB in May 2012, following the GEF CEO endorsement in December 2011. The project implementation started in August 2012. The general objective of the project is to enable the local development of wind turbines for distributed generation and contribute to enhance Mexico's local capacities in wind energy technology.

During the last quarter of 2014, second disbursement was approved and delivered to the Executing Agency reaching a disbursement of 4.28%. The official website of the project was launched in November 2014 (http://www.iie.org.mx/detelm/index.php). Publication of an international expression of interest in the United Nations Development Business website was carried out to the contract of one expert for the design and construction of wind turbines blades. This consultancy has been necessary because after a national market research it was shown that there is no research institutes nor engineering firms in Mexico for design and construction of wind turbine blades for medium and high capacity. However, there is a delay in the contract of this consultancy due to internal processes of the Executing Agency.

In January 2015, the long list of the Steering Committee of the project was confirmed. This Steering Committee is comprised by the Ministry of Energy, Ministry of Finance, Ministry of Economy, National Science and Technology Council, National Association of Electrical Manufacturer, IDB and Electric research Institute. Up today, the agenda of the Steering Committee meetings is to be determined. Major delays of the project are due to internal procurement process of the Executing Agency.

(h) ***Russian Federation: Phase out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer (UNIDO).*** The project has started its implementation in March 2011.

The Russian Government's Decree No. 1229 on changes in reporting forms for produced, used, stored, recuperated, reclaimed, recirculated, and destroyed ozone depleting substances (ODS) dated November 20, 2014 was adopted. In addition, the Direction No. 2327-p stipulating allowable ODS production and consumption volumes for 2015 for the Russian Federation dated November 20, 2014 was also signed. In preparing abovementioned draft regulatory legal acts, proposals of UNIDO-Business working group and the Project Management Unit (PMU) were taken into account. PMU prepares draft annual reports on key ODS uses in the Russian Federation, except for laboratory and analytical uses, as well as on ODS production, consumption, export and import for the Ministry of Natural Resources and Environment.

The supply, installation, and commissioning of the process equipment for one factory (OAO PO Sergo Plant (Zelenodolsk, Republic of Tatarstan)) were completed. The scope of the supply included production lines for ozone-safe medical equipment and domestic refrigerating appliances. For one producer of domestic refrigerating appliances (OOO SEPO-ZEM (Saratov)), a certification referring equipment, goods, works, and services to technical aid was obtained, and the supply of process equipment was completed. Both factories converted to non-ODS and low global warming potential technologies.

Activities on creation of certification courses for heating, ventilating, and air conditioning and refrigeration (HVAC&R) equipment installation, repair, and maintenance technicians were completed. Those courses will favor creation of professional and educational standards in the Russian Federation, and functioning of the technicians' certification system, which both are necessary for organization of ODS accounting, ODS leakage from operating equipment, and ODS disposal in an environmentally sound manner.

In October 2014, a meeting of the initiative group of representatives of UNIDO and largest associations and self-regulating organizations in the HVAC&R sector was organized. It was dedicated to development of professional standard "Refrigerating, heat pump, and air-conditioning equipment technician." In November–December 2014, free online course "Regulation, and technological aspects, of cutting ODS consumption in the Russian Federation" was organized. As part of the course more than 130 specialists were instructed, and 30 specialists were trained to use distance training technologies and specialized software in the refrigeration sector.

The project supported website dedicated to the ozone issues (www.ozoneprogram.ru) is updated on a regular basis.

(i) ***Senegal: Typha-based Thermal Insulation Material Production in Senegal (United Nations Development Program - UNDP).*** The project was endorsed by the GEF CEO in August 2012. It started implementation in November 2013.

The project started implementation in November 2013. To date, various products have been developed from typha-cement and typha-earth, including insulation boards consisting of 100% typha leaves, plasterboard, panels, bricks, and shotcrete.

Market studies, including feasibility studies are underway for semi-industrial production lines. In addition, technology transfer has started for typha-earth through training of local artisans, PhD students, architects and local entrepreneurs to produce materials.

The project has succeeded in bringing together national institutions, notably the Ministry of Environment, Ministry of Energy, Ministry of Urban Development, Energy Efficiency Agency, Ministry of Education and Professional training to work together. The Ministry of Urban Development has requested the project to integrate energy efficiency principles into the building code. The project has just signed a Memorandum of Understanding with l'Agence de l'Economie et de la Maitrise d'Energie (AEME) to implement jointly certain activities such as energy audits of some public buildings and outreach and communications on energy efficiency.

The project is striving for the establishment of a typha value chain from production of raw material to implementation in the building. A working group is being set up and will include all departments mentioned above to discuss all technical and policy issues and support the project management unit.

(j) ***Sri Lanka: Bamboo Processing for Sri Lanka (UNIDO).*** The project was endorsed by the GEF CEO in April 2012. The launching of the project took place in September 2012.

Within the reporting period, the Sri Lanka National Bamboo Association was established; a mechanism with an instrumental role to the implementation of the project activities and the sustainability of the outputs. The National Bamboo Association includes representatives and members from the entire bamboo value chain in Sri Lanka. Land owners, farmers, industry members are among the representatives to the association.

The Sri Lanka National Bamboo Association will be the custodian of the Revolving Fund that was established within the aforementioned reporting period. The revolving fund aims to best utilize the available funds for growing and processing bamboo in Sri Lanka by moving away from the traditional grant providing approach and by introducing very low interest loans that when repaid the funds will be reused for expanding the implementation to additional communities within Sri Lanka. Currently $300,000 has been allocated to the revolving fund and another $300,000 are planned to be added in 2015. The Sri Lanka National Bamboo Association has the key role in administering the revolving fund and ensuring that the distribution of funds is appropriately conducted according to thematic and geographic criteria and that all operations are taking place in a transparent manner in full compliance with UNIDO's and GEF's rules and regulations.

Moreover the preparatory work for expanding the tissue culture laboratory at the University of Jayawardapara has been concluded. The purpose of the expansion is to ensure that all necessary technical means are in place for the systematic, reliable and consistent production of bamboo plants to be used in the local participating communities.

(k) ***Thailand: Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava (UNIDO).*** The project was endorsed by the GEF CEO in March 2012. Due to political uncertainty and turmoil in Thailand, the project started implementation in November 2013.

The project established ethanol information hub in Thailand for disseminate and support the south-south technology transfer through the web-based portals. The website-www.aseancassava.info was launched by King Mongkut's University of Technology Thonburi (KMUTT) in 2014, functions as one of the tools to promote Thailand to be a regional center for South-South bio-ethanol Technology Transfer. The website updates and maintains information and data on cassava production, know-how and very high gravity simultaneous saccharification and fermentation (VHG-SSF) technology on a regular basis.

The demonstration plant in Thailand was designed and the procurement for the construction is prepared with ethanol production capacity of 200 liters per day. The demo plant is expected to start its operation in September 2015.

The KMUTT researchers started to prepare and continue improving upon detailed training modules for a series of capacity building scheme covering from agricultural practice, raw material handling, feedstock preparation, and improved fermentation technology. A series of trainings will be conducted in Thailand targeting different groups of audience covering farmers, technician and entrepreneur from Lao PDR, Myanmar and Vietnam. The target country is now expanded to include Cambodia according to the decision made by the project steering committee held in January 2015.The first training is expected to be conducted in May 2015. KMUTT researchers will improve on the manuals with feedbacks to be received from the first session.

Between June and September 2014, the project commissioned the report on "Assessment of capacities of financial institutions in Lao PDR and Myanmar-to provide loans to new renewable technologies for the large scale production of Ethanol from Cassava". As a result, the assessment suggested that the project should implement mentoring and coaching for targeted and invested investors rather than organizing a capacity training programme for banking sector in both countries as originally planned. By this way, the project could make the most effective use of the limited funds it has.

The project organized the focused group meeting for investors in August 2014 as a part of technical assistance and expert advisory service to investors from Myanmar and Lao PDR in commercialization of bioethanol production technology. The focused group meeting resulted in ongoing discussion for the project to help two Laotian investors established bioethanol plants in Lao PDR with collective capacity of 200,000 liters per day. The project expects to receive a letter from Institute for Renewable Energy Promotion under Ministry of Energy and Mines, Lao PDR requesting for technical assistance in this issue within first half of 2015.

In Viet Nam, the project developed the E5 (gasoline mixed with 5% ethanol) promotion campaign. In December 2014, the Ministry of Industry and Trade, Vietnam started to recruit Thai expert to help them to promote E5 gasohol in Viet Nam. The awareness raising campaign including regional events will take place in 3 cities during the first quarter of 2015. In January 2015, the project also started working with the Food Industry Research Institute (FIRI), Vietnam to incubate the Vietnamese researcher in the new ethanol production technology. A technical training center at FIRI will be established in 2015 to disseminate and provide trainings and the new technology package to Vietnamese.

Appendix 3. Implementation Progress of Technology Transfer Pilot Projects Under the Poznan Strategic Program (as of March 31, 2015)

GEF ID	*Country*	*Agency*	*Title*	*GEF Poznan Program Funding ($ millions)*[a]	*Total GEF Funding ($ millions)*[a]	*Co-financing ($ millions)*	*Status of Project*
4040	Brazil	UNDP	Renewable CO_2 Capture and Storage from Sugar Fermentation Industry in Sao Paulo State	3.0	3.0	7.7[b]	The project was cancelled in February 2012 upon request from the Agency. The project preparation identified investment costs far higher than initially expected, exceeding the available financing.
4042	Cambodia	UNIDO	Climate Change Related Technology Transfer for Cambodia: Using Agricultural Residue Biomass for Sustainable Energy Solutions	1.9	1.9	4.6[c]	The project was endorsed by the GEF CEO in May 2012. The project is under implementation.
4136	Chile	IDB	Promotion and Development of Local Solar Technologies in Chile	3.0	3.0	31.8[c]	The project was endorsed by the GEF CEO in June 2012. The project is under implementation.
4129	China	WB	Green Truck Demonstration Project	3.0	4.9	9.8[c]	The project was endorsed by the GEF CEO in March 2011. The project is under implementation.
4682	Colombia, Kenya, Swaziland	UNEP	SolarChill: Commercialization and Transfer	2.8	3.0	8.0[c]	The project has been endorsed by the GEF CEO in February 2014. Project implementation is underway.
4071	Cote d'Ivoire	AfDB	Construction of 1000 Ton-per-day Municipal Solid Waste Composting Unit in Akouedo Abidjan	3.0	3.0	36.9[c]	This project has been endorsed by the GEF CEO in October 2013. Project implementation is underway.
4060	Jamaica	UNDP	Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities	0.8	0.8	1.4[b]	The project was cancelled in October 2011 upon request from the Agency.

GEF ID	*Country*	*Agency*	*Title*	*GEF Poznan Program Funding ($ millions)*[a]	*Total GEF Funding ($ millions)*[a]	*Co-financing ($ millions)*	*Status of Project*
4036	Jordan	IFAD	DHRS Irrigation Technology Pilot Project to Face Climate Change Impact	2.4	2.4	5.5[c]	The project was endorsed by the GEF CEO in August 2011. Project implementation is underway.
4132	Mexico	IDB	Promotion and Development of Local Wind Technologies in Mexico	3.0	5.5	33.7[c]	Project was endorsed by the GEF CEO in December 2011. The project is under implementation.
3541	Russia Federation	UNIDO	Phase-out of HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation through Technology Transfer	3.0	20.0	40.0[c]	The project was endorsed by the GEF CEO in August 2010. The project is under implementation.
4055	Senegal	UNDP	Typha-based Thermal Insulation Material Production in Senegal	2.3	2.3	5.6[c]	The project was endorsed by the GEF CEO in August 2012. The project is under implementation.
4114	Sri Lanka	UNIDO	Bamboo Processing for Sri Lanka	2.7	2.7	21.3[c]	The project was endorsed by the GEF CEO in April 2012. The project is under implementation.
4037	Thailand	UNIDO	Overcoming Policy, Market and Technological Barriers to Support Technological Innovation and South-South Technology Transfer: The Pilot Case of Ethanol Production from Cassava	3.0	3.0	31.6[c]	The project was endorsed by the GEF CEO in March 2012. The project is under implementation.
4032	Turkey, Cook Islands	UNIDO	Realizing Hydrogen Energy Installations on Small Island through Technology Cooperation	3.0	3.0	3.5[b]	The project was cancelled in March 2012 upon request from the Agency following changes in the concerned governments' priorities.
			TOTAL	**36.9**	**58.6**	**241.4**	
			Total (cancelled projects excluded)	**30.1**	**51.6**	**228.8**	

[a] Includes Agency fees and project preparation grants
[b] Co-financing amount at the GEF Council Approval
[c] Co-financing amount at the GEF CEO Endorsement

Appendix 4. Climate change technology transfer projects supported in line with the Long-Term Program on Technology Transfer

This Annex lists the Piloting Priority Technology Projects approved by the GEF during the reporting period (July 2014 to March 2015) to Foster Innovation and Investments.

Table 4

Climate change mitigation technology transfer projects supported in line with the Long-Term Program on Technology Transfer during the reporting period (July 2014 to March 2015)

Country	*Agency*	*Title*	*GEF Amount ($ millions)*	*Co-financing ($ millions)*	*Total ($ millions)*
Benin	AfDB	Improving Mobility in Parakou	1.8	107.2	109.0
China	UNIDO	Upgrading of China SHP Capacity Project	8.9	60.0	68.9
Global	World Bank	The International Lighting Efficiency Facility (iLEF)	1.2	50.3	51.5
Ukraine	EBRD	Finance and Technology Transfer Centre for Climate Change (FINTECC)	7.0	45.1	52.1
		Total	**18.9**	**262.6**	**281.5**

Note; The above projects contribute to objective 1 of the GEF-6 climate change mitigation strategy on Table 2 in the main report.

Table 5

Climate change adaptation technology transfer projects supported in line with the Long-Term Program on Technology Transfer during the reporting period (July 2014 to March 2015)

Country	*Agency*	*Title*	*LDCF/SCCF Amount ($ millions)*	*Co-financing ($ millions)*	*Total ($ millions)*
Angola	FAO	Integrating Climate Resilience into Agricultural and Agropastoral Production Systems through Soil Fertility Management in Key Productive and Vulnerable Areas Using the Farmers Field School Approach	7.5	25.3	32.8
Chile	FAO	Strengthening the Adaptive Capacity to Climate Change in the Fisheries and Aquaculture Sector	2.9	15.6	18.5
Comoros	UNEP	Building Climate Resilience through Rehabilitated Watersheds, Forests and Adaptive Livelihoods	5.7	12.6	18.3
Costa Rica	UNDP	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica	5.6	26.8	32.4
Egypt	IFAD	Integrated Management and Innovation in Rural Settlements	8.6	40.0	48.6
Eritrea	UNDP	Mainstreaming Climate Risk Considerations in Food Security and IWRM in Tsilima Plain	10.0	27.5	37.5
Gambia	FAO	Adapting Agriculture to Climate Change in the Gambia	7.1	21.8	28.9
Global	UNDP, UNEP	Expanding the Ongoing Support to Least Developed Countries (LDC) with Country-driven Processes to Advance National Adaptation Plans (NAPs)	7.0	8.4	15.4
Mali	UNDP	Flood Hazard and Climate Risk Management to Secure Lives and Assets in Mali	9.9	27.0	36.9

Morocco	EBRD	Enhancing the climate resilience of the Moroccan ports sector	7.0	48.9	55.9
Myanmar	FAO	FishAdapt: Strengthening the Adaptive Capacity and Resilience of Fisheries and Aquaculture-dependent Livelihoods in Myanmar	6.7	12.4	19.1
Regional (Somalia, Sudan)	AfDB	Rural livelihoods' adaptation to climate change in the Horn of Africa -Phase II (RLACC II)	18.4	30.0	48.4
Regional (Bhutan, Cambodia, Lao PDR, Myanmar)	UNEP	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in the Asia-Pacific region	6.7	8.7	15.4
Sudan	UNEP	Enhancing the resilience of communities living in climate change vulnerable areas of Sudan using Ecosystem Based approaches to Adaptation (EbA)	4.8	11.1	15.9
Tanzania	UNEP	Ecosystem-Based Adaptation for Rural Resilience	8.4	21.6	30.0
Timor Leste	UNDP	Building Shoreline Resilience of Timor Leste to Protect Local Communities and their Livelihoods	7.8	27.5	35.3
Turkmenistan	UNDP	Supporting Climate Resilient Livelihoods in Agricultural Communities in Drought-prone Areas	3.5	20.0	23.5
Viet Nam	ADB	Promoting Climate Resilience in Viet Nam Cities	5.2	124.0	129.2
		Total	**132.8**	**509.2**	**642.0**

Note; The above projects contribute to objective 1 of the LDCF/SCCF strategy on Table 3 in the main report.

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Item 8 of the provisional agenda
Poznan strategic programme on technology transfer

Evaluation of the Poznan strategic programme on technology transfer: interim report by the Technology Executive Committee

Summary

The Technology Executive Committee (TEC) was mandated to evaluate the Poznan strategic programme on technology transfer with the aim of enhancing the effectiveness of the Technology Mechanism. The TEC has prepared this document, its interim report on this evaluation, in response to a mandate given to it by the Subsidiary Body for Implementation (SBI) at its forty-first session. This document contains information on the progress of work of the TEC in the evaluation in the first half of 2015 and the preliminary outcomes of this evaluation. It also contains, in the annex, the terms of reference for the evaluation. The TEC will provide a final report on the evaluation of the Poznan strategic programme to the Conference of the Parties, at its twenty-first session, through SBI 43. The SBI is invited to take note of this interim report with a view to considering a final report on the evaluation of the Poznan strategic programme at SBI 43.

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Annex

Terms of reference for the evaluation of the Poznan strategic programme on technology transfer 9

I. Introduction

A. Mandate

1. The Subsidiary Body for Implementation (SBI), at its fortieth session, invited the Technology Executive Committee (TEC) to evaluate the Poznan strategic programme on technology transfer (PSP) with the aim of enhancing the effectiveness of the Technology Mechanism, and to report back on the matter to the Conference of the Parties (COP), at its twentieth session.[1] In its report to COP 20, the TEC acknowledged that additional time would be required to evaluate the PSP.[2]

2. SBI 41 noted that the TEC would undertake the evaluation of the PSP in 2015, guided by the terms of reference that were to be developed by a TEC task force on this matter. It invited the TEC to provide an interim report on its preliminary findings to SBI 42 and a final report to COP 21 through SBI 43.[3]

B. Scope of the note

3. This document is the interim report of the TEC on the evaluation of the PSP. It contains information on the progress made by the TEC in the evaluation in the first half of 2015 and on the preliminary outcomes of the evaluation. The annex contains the terms of reference for the evaluation.

C. Possible action by the Subsidiary Body for Implementation

4. The SBI is invited to take note of this interim report with a view to considering a final report on the evaluation of the PSP at SBI 43.

II. Background

5. COP 13 requested the Global Environment Facility (GEF) to elaborate a strategic programme for scaling up the level of investment for technology transfer. This was undertaken with the aim of helping developing countries to address their needs for environmentally sound technologies.[4]

6. In 2008, the GEF Council approved a strategic programme on technology with funding of USD 50 million. The programme had the following three funding windows:

(a) Technology needs assessments (TNAs);

(b) Piloting priority technology projects linked to TNAs;

(c) Dissemination of GEF experience and successfully demonstrated environmentally sound technologies.[5]

7. COP 14 welcomed this strategic programme and renamed it the "Poznan strategic programme on technology transfer". It requested the GEF to, inter alia, consider the long-term implementation of the PSP and report back on the progress made to COP 16.[6]

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[1] FCCC/SBI/2014/8, paragraph 142.

[2] FCCC/SB/2014/3, paragraph 51.

[3] FCCC/SBI/2014/21, paragraph 88.

[4] Decision 4/CP.13, paragraph 3.

[5] FCCC/SBI/2015/INF.4, annex, paragraph 16.

8. At COP 16, the GEF reported on the long-term implementation of the PSP.[7] This plan consisted of the following five elements:[8]

(a) Support for climate technology centres and a climate technology network;

(b) Piloting priority technology projects to foster innovation and investments;

(c) Public–private partnership for technology transfer;

(d) TNAs;

(e) The GEF as a catalytic supporting institution for technology transfer.

9. COP 16 established the Technology Mechanism to facilitate enhanced action on technology development and transfer. It mandated the TEC and the Climate Technology Centre and Network (CTCN), in accordance with their respective functions, to facilitate the effective implementation of the Technology Mechanism, under the guidance of the COP.[9]

III. Progress of work

10. In the first half of 2015, the TEC undertook a number of activities as part of its evaluation of the PSP. Many of these activities were undertaken by an internal TEC task force established in 2014 to facilitate the evaluation. Activities that the TEC undertook include: (a) a conference call between members of the internal TEC task force on the evaluation; (b) e-mail exchanges between members of the TEC; (c) consideration of the issue at its 10th meeting; and (d) preparation and finalization of its interim report to SBI 42. In addition, at its 10th meeting the TEC held a meeting with the GEF and other key stakeholders on the PSP evaluation. Participants included the TEC Chair and Vice-Chair, the TEC task force and representatives of the GEF, the CTCN and the UNFCCC secretariat.

11. The purpose of the stakeholder meeting was to:

(a) Discuss the objectives, scope of work and expected outcomes of the evaluation;

(b) Invite the GEF to provide an overview of the background, status and lessons learned from the implementation of the PSP;

(c) Discuss the evaluation process, including:

(i) The terms of reference for the evaluation (see the annex);

(ii) The methodologies and process of the evaluation;

(iii) The information sources for the evaluation;

(d) Discuss the activities and timelines of the TEC and its internal task force;

(e) Discuss the next steps.

12. In this stakeholder meeting, participants noted that, in accordance with the SBI 40 mandate, the evaluation should be both backward-looking (the TEC should evaluate the PSP) and forward-looking (the aim is to enhance the effectiveness of the Technology Mechanism). They also noted that as it evaluates the PSP, the TEC should take into account

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[6] Decision 2/CP.14, paragraphs 1 and 2.

[7] FCCC/SBI/2010/25.

[8] The GEF noted that three of the long-term elements (TNAs, piloting projects and the GEF as a catalytic supporting institution) are a direct continuation and scaling-up of the three elements of the initial PSP (see paragraph 6 above). Refer to document FCCC/CP/2013/3, annex, paragraph 140.

[9] Decision 1/CP.16, paragraph 118.

the fact that the PSP was created before the establishment of the Technology Mechanism. With this in mind, in undertaking the evaluation, the TEC should also consider:

(a) The need to enhance complementarity and avoid duplication in the work of the PSP and the Technology Mechanism;

(b) Possible synergies between the PSP and the Technology Mechanism.

13. Participants in this stakeholder meeting also underlined that, as it undertakes the evaluation, the TEC should consult Parties, the Green Climate Fund, GEF implementing agencies and other actors. Participants noted that the Green Climate Fund will be a key partner in the future work of the Technology Mechanism.

14. As an outcome of the meeting, the GEF and the CTCN were invited to provide information on certain elements of their work, and it was agreed that the TEC could draw on this information as it evaluates the PSP. These elements are as follows:

(a) Backward-looking elements: programmatic data, and lessons learned and experiences gained relevant to the evaluation of the PSP;

(b) Forward-looking elements: suggestions on how the GEF and the CTCN see themselves evolving in the future in order to enhance technology development and transfer in the UNFCCC process.

15. At its 10th meeting, the TEC considered its progress in the PSP evaluation. It reviewed and finalized the terms of reference for the evaluation, as contained in the annex. The TEC also considered the indicative structure of the interim report to be submitted to SBI 42. It gave guidance to its internal task force on the intersessional work yet to be undertaken on the evaluation and requested it to draft a final report on the evaluation for consideration by the TEC at its 11th meeting, to be held from 7 to 11 September 2015. The TEC finalized the interim report in the intersessional period following the conclusion of its 10th meeting.

IV. Preliminary outcomes

16. The TEC has commenced its evaluation of the PSP and will provide a final report on its evaluation to COP 21 through SBI 43. In accordance with the terms of reference for the evaluation, the first stages of the process, resulting in preliminary outcomes, are as follows:

(a) Planning and design: agreement on the evaluation's elements, such as scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports.

17. These preliminary outcomes, to be further refined and enhanced during the course of the evaluation, are outlined in chapter IV.A and B below.

A. Planning and design

18. The key document that the TEC prepared during the planning and design stage was the terms of reference for the evaluation, contained in the annex. The terms of reference specify the evaluation's aim, scope of work, process, activities, information sources and timing.

B. Data collection

19. With regard to data collection, the TEC has, to date, collected the following information on past and present work under the PSP.

20. The TEC notes that it will continue to collect data and information, including from the sources noted in the terms of reference, as required to effectively undertake the evaluation.

1. Support from the Global Environment Facility for the activities of the Climate Technology Centre and Network

21. To support the activities of the CTCN, in accordance with decision 2/CP.17, paragraph 140, in June 2014 the Chief Executive Officer of the GEF approved a project concept proposal submitted by the United Nations Industrial Development Organization for a project titled "Promoting accelerated transfer and scaled up deployment of mitigation technologies through the Climate Technology Centre & Network (CTCN)".[10] The GEF anticipates that the project will be endorsed by mid-2015. The project is expected to serve as a pilot that highlights options for the development of CTCN-related outputs into projects with concrete mitigation benefits under the sixth replenishment of the GEF. These projects would use GEF country allocations and be undertaken in a country-driven manner.

22. The CTCN project named in paragraph 21 above is also expected to help the CTCN to design and test a framework for working with financing institutions. The framework's purpose is to help developing countries to design requests that comply with the requirements of financing institutions and are thus likely to attain financial support and achieve implementation.[11]

2. Overview of past and present work under the Poznan strategic programme on technology transfer

(a) Support for climate technology centres and a climate technology network

23. The GEF provides financial support for four regional climate technology centres. The Pilot Asia-Pacific Climate Technology Network and Finance Center, managed jointly by the Asian Development Bank and the United Nations Environment Programme (UNEP), supports countries in the Asia-Pacific region in addressing barriers to climate technology development and transfer. Another regional centre project that the GEF supports is the Finance and Technology Transfer Centre for Climate Change, implemented by the European Bank for Reconstruction and Development. This centre works with countries with economies in transition in Eastern Europe to incentivize the deployment of climate technologies.

24. The GEF also supports the Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean Initiative, administered by the Inter-American Development Bank. This regional climate technology centre promotes the development and transfer of environmentally sustainable technologies in Latin America and the Caribbean. Finally, the GEF supports the Pilot African Climate Technology Finance Center and Network implemented by the African Development Bank. This centre supports the deployment of technologies for both climate change mitigation and adaptation in sub-Saharan Africa.[12]

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[10] See <http://goo.gl/PWul0Q>.

[11] FCCC/SBI/2015/INF.4, annex, appendix 1, paragraphs 5 and 6.

[12] FCCC/SBI/2015/INF.4, annex, appendix 1.

25. The GEF and the CTCN are collaborating to enable the regional development banks to share experiences gained and lessons learned in implementing the regional centre projects. This sharing of information aims to, inter alia, facilitate joint efforts and potential cooperation among development agencies and the Technology Mechanism in order to accelerate climate technology transfer.[13]

(b) Piloting priority technology projects to foster innovation and investments

26. The GEF issued a call for proposals on technology transfer in 2009.[14] This resulted in the selection of 14 pilot projects, which have received USD 58 million from the GEF. The majority of the projects support mitigation action; one is focused on adaptation and three have adaptation elements. Eleven of these projects have been approved and are now being implemented in Cambodia, Chile, China, Côte d'Ivoire, Jordan, Mexico, the Russian Federation, Senegal, Sri Lanka and Thailand. Three of the selected projects were cancelled by the implementing agency or recipient country.[15] Some of the regional climate technology centres supported by the GEF are also supporting pilot projects on technology transfer.

(c) Public–private partnership for technology transfer

27. During the fifth replenishment period of the GEF, the GEF Council approved four public–private partnership programmes related to climate technology transfer. The total GEF support for these programmes was USD 65 million.[16] In addition, the regional technology centres include activities related to public–private engagement.

(d) Technology needs assessments

28. Since 2009, the GEF has provided financial support to assist developing country Parties in developing or updating their TNAs. The GEF provided funding of USD 9 million to the global TNA project, phase I, to assist 36 developing country Parties with their TNAs. The GEF is now providing USD 6.1 million to the global TNA project, phase II, to assist 28 developing country Parties. Both of the phases are implemented by UNEP and the UNEP–Technical University of Denmark Partnership.[17] In addition, between September 2011 and March 2015, the GEF supported 13 national projects which incorporate TNA support activities. These projects were funded through country allocations.[18]

(e) The Global Environment Facility as a catalytic supporting institution for technology transfer

29. The GEF reports active participation in global efforts to support climate technology transfer, including through participation in dialogues of the UNFCCC secretariat and in consultations with the CTCN. The GEF notes that it has also sought to facilitate learning across the regional centres, including through periodic informal coordination meetings. Furthermore, it has sought to disseminate information on its ongoing initiatives and facilitate a continued focus on climate technology transfer.[19]

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[13] FCCC/CP/2014/2/Add.1, annex, paragraph 8.

[14] FCCC/SBI/2015/INF.4, annex, paragraph 23.

[15] FCCC/SBI/2015/INF.4, annex, paragraph 25. Information on the cancellation of these projects may be found in document FCCC/SBI/2015/INF.4, annex, appendix 3.

[16] FCCC/CP/2014/2, annex, paragraph 139.

[17] FCCC/SBI/2015/INF.4, annex, paragraphs 35–39.

[18] Information provided by the GEF secretariat.

[19] FCCC/CP/2014/2, annex, paragraphs 147 and 148.

V. Next steps

30. The TEC is currently undertaking the evaluation of the PSP, with the aim of submitting a final report to COP 21 through SBI 43, in accordance with the SBI 41 mandate. In the evaluation, the TEC is following the process outlined in chapter III of the terms of reference for the evaluation. It is currently collecting additional data relevant to the evaluation after which it will: (a) review and analyse all relevant data and information collected; (b) develop recommendations based on the review and analysis, and identify possible next steps; and (c) complete the compilation of the final report.

Annex

Terms of reference for the evaluation of the Poznan strategic programme on technology transfer

I. Aim

1. The aim of the evaluation of the Poznan strategic programme on technology transfer (PSP) is to enhance the effectiveness of the Technology Mechanism.

II. Scope of work

2. The scope of the PSP evaluation should cover the following:

(a) The effectiveness and efficiency of the PSP in meeting Party needs, including factors affecting the programme's outcomes;

(b) The operations of the PSP in terms of:

(i) Scaling up and replicating projects;

(ii) Its relevance in addressing global and regional issues;

(iii) Its effectiveness and evolution as a model of change;

(c) The progress made and lessons learned in implementing the PSP, as relevant to the operationalization of the Technology Mechanism;

(d) Mandates: overlap and complementarity in the mandates of the PSP and the Technology Mechanism;

(e) Activities: overlap, complementarity and synergies between activities undertaken under the PSP and the Technology Mechanism;

(f) Possible ways of improving the PSP in order to enhance the effectiveness of the Technology Mechanism.

III. Process

3. The process for undertaking the PSP evaluation should include the following:

(a) Planning and design: agreement on the evaluation's elements, such as scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports. Data collection may include a literature review that may refine the evaluation's scope and research of relevant evaluations, case studies and publications;

(c) Review and analysis: undertaking of a review and meta-analysis of the information contained in all relevant recent evaluations produced by the Global Environment Facility (GEF) and the UNFCCC secretariat;

(d) Development of recommendations: on the basis of the review and analysis, followed by the identification of possible next steps;

(e) Report writing.

IV. Activities

4. The PSP evaluation should comprise the following tasks:

(a) Data collection: collection and review of information on the activities of the PSP of relevance to the Technology Mechanism;

(b) Review and analysis:

(i) Review of the implementation by the GEF of all decisions of the Conference of the Parties (COP) and conclusions of the Subsidiary Body for Implementation (SBI) on the PSP of relevance to the Technology Mechanism;

(ii) Review of the progress by the GEF in implementing activities under the PSP of relevance to the Technology Mechanism;

(iii) Analysis of how the PSP has contributed to scaling up the level of investment in the transfer of environmentally sound technologies to developing countries;

(iv) Identification of experiences gained and lessons learned from the implementation of the PSP of relevance to the Technology Mechanism;

(v) Identification of lessons that could be learned from the PSP of relevance to the operationalization of the Technology Mechanism;

(c) Development of draft recommendations:

(i) Consideration of how to enhance synergy between the work of the PSP and of the Technology Mechanism;

(ii) Evaluation of the PSP (drawing on the information above) in the context of enhancing the effectiveness of the Technology Mechanism, including by preparing draft recommendations on the next steps;

(d) Report writing:

(i) Preparation of a final report on the evaluation's outcomes;

(ii) Highlighting of limitations related to the evaluation, such as challenges related to the accessibility of data.

V. Information sources

5. The PSP evaluation will be based on information requested from Parties and the GEF and its agencies. Information for the evaluation should be drawn from, inter alia:

(a) Relevant COP decisions and SBI conclusions;

(b) GEF reports on progress in implementing the PSP, including project reports;

(c) Reports of the TEC and the Climate Technology Centre and Network;

(d) Information shared by the GEF in the process of consultation with the internal TEC task force;

(e) Information shared by the Climate Technology Centre and Network during consultations with the internal TEC task force;

(f) Information shared by external experts and stakeholders, including Parties, beneficiary countries of the PSP, GEF agencies and international financial institutions;

(g) Third party reviews of the PSP.

VI. Timing

6. An interim report on the Technology Executive Committee's preliminary findings on the evaluation should be prepared for consideration at SBI 42.

7. A final report on the evaluation by the TEC should be forwarded to COP 21 through SBI 43.

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Item 7 of the provisional agenda
National adaptation plans

Report on the workshop on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans

Note by the secretariat

Summary

This is a report on the workshop organized by the Adaptation Committee in collaboration with the Least Developed Countries Expert Group in Bonn, Germany, on 16 and 17 April 2015. The workshop involved experts and practitioners at different levels who shared experiences, good practices, lessons learned, gaps and needs in relation to the process to formulate and implement national adaptation plans (NAPs). The report includes a summary of the options for enhancing reporting related to the process to formulate and implement NAPs as discussed at the workshop. It also summarizes issues for further consideration by the Subsidiary Body for Implementation.

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Annex

Guiding questions 16

I. Introduction

A. Background and mandate

1. The Subsidiary Body for Implementation (SBI), at its fortieth session, invited the Adaptation Committee (AC), in collaboration with the Least Developed Countries Expert Group (LEG), to organize a workshop, back to back with a relevant workshop where possible, drawing on experts and practitioners at different levels to share experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans (NAPs), to be held prior to SBI 42.[1]

2. As further input for the monitoring and evaluation of the NAP process by the SBI and for the workshop mentioned in paragraph 1 above, the SBI had invited the LEG and the AC to prepare an information paper[2] on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs based on the NAP Expo and relevant documents, including the submissions referred to in document FCCC/SBI/2014/8, paragraphs 93, 103 and 104, for consideration at SBI 41.[3]

3. Furthermore, the Conference of the Parties (COP), at its twentieth session, decided to explore options for enhancing reporting related to the process to formulate and implement NAPs as part of the workshop referred to in paragraph 1 above.[4]

4. The SBI invited the AC, in collaboration with the LEG and with the support of the secretariat, to prepare a report on the above-mentioned workshop. The SBI will consider the report, together with other documents, as it monitors and evaluates progress made in the NAP process, with a view to making recommendations to the COP, as appropriate.[5]

B. Scope of the document

5. This report on the workshop referred to in chapter I.A above draws on the presentations made and discussions held at the workshop. It first describes the proceedings and the approach to the organization of the workshop, and then provides a summary of the key topics raised during discussions and of issues for further consideration by the SBI.

C. Possible action by the Subsidiary Body for Implementation

6. SBI 42 may wish to consider this report as it monitors and evaluates progress made in the NAP process, with a view to making recommendations to the COP, including the following, as appropriate:[6] a recommendation that the COP request or provide guidance to the AC, the LEG, other constituted bodies under the Convention, operating entities of the Financial Mechanism and relevant organizations on addressing the gaps and needs identified in this report and document FCCC/SBI/2014/INF.14; and a recommendation to the COP on how reporting channels could be enhanced to fulfil any reporting needs for the process to formulate and implement NAPs.

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[1] FCCC/SBI/2014/8, paragraph 106.

[2] Available as document FCCC/SBI/2014/INF.14.

[3] FCCC/SBI/2014/8, paragraph 107.

[4] Decision 3/CP.20, paragraph 8.

[5] FCCC/SBI/2014/8, paragraph 108.

[6] See decision 3/CP.20 and document FCCC/SBI/2014/8, paragraphs 106 and 108.

II. Proceedings

7. The workshop was held in Bonn, Germany, on 16 and 17 April 2015. It was chaired by a Co-Chair of the AC, Mr. Juan Pablo Hoffmaister. Thematic sessions were facilitated by Mr. Batu Uprety, Chair of the LEG, Mr. Thinley Namgyel, member of the LEG, and Ms. Margaret Mukahanana Sangarwe, member of the AC.

8. The workshop was attended by 86 participants, including representatives of Parties, constituted bodies under the Convention (including the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention and the Standing Committee on Finance), the Adaptation Fund Board secretariat, the Global Environment Facility secretariat and its Independent Evaluation Office, as well as of the Green Climate Fund (GCF) secretariat. Also in attendance were various representatives of United Nations organizations and specialized agencies, bilateral and multilateral agencies, international, intergovernmental and non-governmental organizations and regional centres and networks.

9. Participants were requested to build on the findings contained in document FCCC/SBI/2014/INF.14 (see para. 2 above) by expanding them or adding more specific details. Participants were guided by questions elaborated by the AC and the LEG prior to the workshop and contained in the annex. The guiding questions were shared with all participants in advance of the workshop and were made available on the workshop web page.[7]

10. The AC and the LEG made presentations to frame the workshop and highlight relevant developments and/or information from recent events. The AC highlighted key messages from its work, including from a workshop on monitoring and evaluation held in September 2013,[8] a meeting with United Nations agencies, multilateral and bilateral intergovernmental and non-governmental organizations supporting the NAP process held in September 2014,[9] and a workshop on means of implementation for enhanced adaptation action held in March 2015.[10] The LEG provided highlights on its work on the process to formulate and implement NAPs, including on the technical guidelines,[11] NAP Central[12] and training. It also highlighted the key outcomes of NAP Expo 2015.[13]

11. Discussion on the first day of the workshop focused on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs. The second day was devoted to options for enhancing reporting related to that process. After two general sessions introducing the workshop and providing an overview of medium- and long-term adaptation issues, the two main topics of the workshop were taken up as follows: an overview presentation in plenary was followed by targeted discussions in breakout groups. Rapporteurs of each breakout group then reported back on the group's main findings to the plenary, where these findings were further discussed. Breakout groups on day one discussed the topics of governance structures, policies, regulations and legislation; science and knowledge; finance and implementation; and monitoring, evaluation, reporting, sharing and learning. The two breakout groups of day two discussed reporting related to the process to formulate and implement NAPs and the national and international levels of such reporting, respectively.

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[7] <unfccc.int/8903>.

[8] See <http://unfccc.int/7744>.

[9] See <http://unfccc.int/files/adaptation/groups_committees/adaptation_committee/application/pdf/20140927r.pdf>.

[10] See <http://unfccc.int/8860>.

[11] See <http://unfccc.int/7279>.

[12] See <www4.unfccc.int/nap>.

[13] See <http://unfccc.int/8887>.

12. At the end of the workshop, the chair presented an overall summary of the findings on the two main topics of the workshop: experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs; and options for enhancing reporting related to that process.

III. Experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans

13. In line with the design of the workshop, and building on relevant information from document FCCC/SBI/2014/INF.14, the discussion on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs was structured around selected topics related to each of the four elements of the NAP process shown in the table.

Topics discussed at the workshop

Element of the national adaptation plan process	*Selected topics under the elements*
Element A: laying the groundwork and addressing gaps	Governance structures, policies, regulations and legislation
Element B: preparatory elements	Science and knowledge
Element C: implementation strategies	Finance and implementation
Element D: reporting, monitoring and review	Monitoring, evaluation, reporting, sharing and learning

Note: Information on the elements of the NAP process can be found in the annex to decision 5/CP.17 and in the technical guidelines for the NAP process, available at <unfccc.int/7279>.

14. The information related to governance structures, policies, regulations and legislation, and on science and knowledge was based on practical experiences with the process to formulate and implement NAPs shared by the countries. For the sections on finance and implementation, and on monitoring, evaluation, reporting, sharing and learning the information presented was based on experiences of countries with activities that could inform the process to formulate and implement NAPs.

A. Experiences with the process to formulate and implement national adaptation plans

15. Regarding governance structures, many participants indicated that their countries have in place various national institutional arrangements related to climate change adaptation. Some countries are using the existing institutional arrangements to execute the process to formulate and implement NAPs, while others are enhancing the existing and/or establishing new institutional arrangements. For many of the countries, the institutional arrangements include the following three main categories:

(a) National climate change agency or department: situated in one ministry with a focal point network of representatives from other ministries, tasked with coordinating development and implementation of sector strategies and plans and the integration of climate change adaptation into development planning processes;

(b) Multidisciplinary technical group, team or committee: composed of representatives of various agencies and institutions at the national level (usually technical experts from national ministries, local authorities, civil society, academia and research). The group, team or committee facilitates cooperation among the different agencies and institutions and coordinates the development of national strategies, frameworks and/or plans;

(c) National climate change committee: composed of senior policymakers and representatives of non-governmental entities; advises the government on the vision and strategy for addressing climate change adaptation at the national level, and provides overall coordination and monitoring of the national climate change adaptation policies, plans and programmes.

16. As to the policies, regulations and legislation, most of the participants mentioned that they have national climate change policies, frameworks, and/or strategies that define national goals, strategy and the role of the government and other actors with respect to climate change adaptation. Some participants further indicated that their countries have enacted legislation on climate change, while others said that they are working towards enacting new or revising existing legislation. Some participants mentioned the plans for the creation of a specific national mandate for the process to formulate and implement NAPs.

17. Regarding the initiation and/or launch of the process to formulate and implement NAPs, certain participants indicated that this was done through a national workshop involving a diversity of stakeholders, held to mark the official launch of the NAP process. The workshops were used to raise awareness among stakeholders at the national level, emphasize the importance of the process to formulate and implement NAPs and mobilize support.

18. Many participants indicated that their countries have integrated climate change adaptation into their national development frameworks. The frameworks contain specific objectives relating to nationwide actions on climate change adaptation, and have been used to mobilize and engage a wide range of stakeholders at the national level. Other participants highlighted plans to enhance the integration of adaptation into national, subnational and local development frameworks.

19. Participants also shared information on the application of the NAP guidelines to the design of their national processes. A variety of approaches were highlighted on how the guidelines were used:

(a) In cases where comprehensive adaptation planning and implementation processes had been already in place at the national level before the NAP guidelines were issued, the guidelines were used as a reference point in examining the ongoing processes and to prepare additional elements. In such cases it was found that the principles used to guide national activities on adaptation were consistent with the NAP guidelines, and that some of the sample outputs identified in the NAP guidelines had been already partly achieved, though not in the systematic manner recommended in the guidelines;

(b) In cases where countries embarked on comprehensive work on adaptation after the NAP guidelines had been put in place, the guidelines were being used as the basis.

20. On science and knowledge, most participants indicated that their countries have undertaken various assessments of climate change impacts, vulnerabilities and risks, as well as of adaptation options and past or current adaptation activities. In the case of developing countries, such activities include the submission of national communications to the secretariat, the preparation of national adaptation programmes of action (in the case of least developed countries (LDCs)), and a diversity of multilateral and bilateral programmes

and/or projects, including the Pilot Program for Climate Resilience,[14] the Global Climate Change Alliance,[15] the joint national action plans on climate change adaptation and disaster risk reduction,[16] the Caribbean Regional Framework for Achieving Development Resilient to Climate[17] and the Africa Adaptation Programme.[18]

21. In the case of developed countries, the assessments were part of planned activities to inform adaptation planning and implementation at the national level.

22. Participants mentioned that the experiences gained in undertaking the assessments will assist them in conducting more comprehensive and rigorous future assessments under the NAP process. For some, the assessments undertaken can already adequately inform the NAP process.

23. In addition, participants mentioned that there have been capacity-building efforts to support the assessments, including the establishment of national climate service centres, provision of advice to local planners on climate data and information, and training.

24. Some participants indicated that their countries have NAPs in place; some stated that their countries are in advanced stages of formulating their NAPs. Some of the participants also elaborated on further plans to develop sector-specific adaptation plans. The following approaches applied to or being considered for the formulation of NAPs can be extracted from the examples provided:

(a) Development of sectoral plans for the most vulnerable and/or key sectors, including in cases where such plans were afterwards aggregated into a national plan;

(b) Development of a national plan from the elements of sector-specific plans. An integrating framework guides the feeding of sector plans into the overall NAP.

25. Many participants also mentioned elements that could be potentially included in a NAP. These were, in no particular order and not necessarily mutually exclusive:

(a) A national framework, including goals, role of government and other stakeholders, scope and focus areas;

(b) A national strategy on climate change adaptation;

(c) Results of the assessments of impacts, vulnerability and adaptation;

(d) Plans for monitoring and review;

(e) Cross-cutting issues such as collaboration, synergies, research and outreach.

26. Regarding finance and implementation, participants shared their experiences on the implementation of adaptation actions under a variety of initiatives and on accessing finance from a variety of sources.

27. In reference to the design of implementation strategies, participants mentioned that countries would identify financing requirements for the different adaptation options at the national level and then develop a strategy to guide the implementation process. That strategy would include priority sectors/themes for adaptation actions, prioritized adaptation actions, costs, financing and key actors, as well as monitoring and evaluation components.

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[14] See <www.climateinvestmentfunds.org/cif/Pilot_Program_for_Climate_Resilience>.

[15] See <www.gcca.eu>.

[16] See <www.sprep.org/Adaptation/current-programmes>.

[17] See <http://dms.caribbeanclimate.bz/M-Files/openfile.aspx?objtype=0&docid=948>. See <http://www.caribbeanclimate.bz/ongoing-projects/2009-2021-regional-planning-for-climate-compatible-development-in-the-region.html> for further information on the implementation of the framework.

[18] See <www.undp-aap.org>.

28. It was pointed out that high-level decisions would help to prioritize the strengthening of the governance of climate change and the institutional arrangements for accessing domestic and external finance.

29. Some participants provided examples of national climate change trust funds established to mobilize and coordinate funding for the implementation of adaptation actions at the national level. These funds are administered through a designated national agency and support national institutions and the civil society.

30. Participants underlined the growing importance of viewing readiness to access adaptation finance as an incremental process that involves helping to strengthen the capacity of developing countries to receive and utilize climate financing as they adapt and build resilience to climate change. They emphasized that countries have by now demonstrated that they are ready to access several types and levels of funding, and that they should thus be provided with the opportunity to start the process and learn by doing. In this context, some participants referred to regional programmes and their role in improving the capacity of countries to access adaptation finance.

31. On the issue of reporting and monitoring, participants shared experiences with the establishment of indicators for describing measurable impacts of climate change and the effect of the implemented measures in selected areas of action. The indicators would be used to guide reporting of progress on addressing the impacts of climate change.

32. Some participants indicated that their countries have established or are considering conducting reviews of national plans at four- or five-year intervals. This would allow them to take into account, among other inputs, the latest assessments of climate change impacts, vulnerabilities and risks, and the latest priorities and lessons learned. Other participants stated that the review interval could be linked to the frequency of the publication of assessment reports of the Intergovernmental Panel on Climate Change.

33. As for sharing of information, some participants indicated that mechanisms have been established at the national levels to facilitate collaboration among different levels of government, public and private sector actors. The mechanisms facilitate sectoral and regional work on the basis of shared priorities and resources.

34. Several participants also referred to the potential of regional centres to provide opportunities for sharing experiences and facilitating learning.

B. Good practices and lessons learned in the process to formulate and implement national adaptation plans

35. One possible structure participants referred to in reference to governance structures, policies, regulations and legislation was the establishment of interministerial coordination mechanisms. Examples of benefits such mechanisms may entail include the following:

(a) Having one body coordinate national climate change policy facilitates the integration of adaptation into other sectors;

(b) Establishing a streamlined and rationalized body that deals with both climate change adaptation and disaster risk reduction saves resources and enables holistic decision-making;

(c) Such a set-up encourages full government support and addresses overlaps.

36. Furthermore, some participants shared the following considerations:

(a) It is important to ensure the involvement of all stakeholders from different levels of decision-making such as local communities, and local and central governments;

(b) Coordination across different social groups and regional levels and across vertical structures of governance encourages multi-stakeholder involvement in the process and coordination across local, subnational and national levels;

(c) Increased awareness of climate change adaptation achieved through, for example, regional and/or international climate change events encourages participation of senior policymakers and of a wide range of stakeholders at the national level. This in turn generates high levels of support for adaptation from policymakers.

37. Regarding science and knowledge, participants highlighted that the NAP process presents opportunities for national governments to establish longer-term approaches to widely engaging the scientific community in informing adaptation planning and implementation.

38. Participants also highlighted that it is critical to ensure that all the stakeholders clearly understand their roles in the development of adaptation plans, that their capacity to carry them out is adequately developed and that the needed resources are made available.

39. It was also mentioned that regional centres and networks can play an important role in increasing a country's capacity to access finance for the process to formulate and implement NAPs. A number of regional centres are applying or have previously applied for accreditation as implementing entities of the GCF. Considering their long-time experience in supporting countries in their regions, they are well positioned to effectively support countries in accessing funding.

40. Participants flagged issues related to monitoring, evaluation, reporting, sharing and learning that could inform the design of effective systems for those activities. Firstly, it is important to be clear on what information needs to be monitored and why and how often it should be monitored. Secondly, a robust monitoring and evaluation system starts with an adaptation plan that makes it clear what needs to be monitored and what indicators and levels should be used.

41. Participants also indicated that the collection and monitoring of information must ideally start well before any adaptation effort so as to have a comparison baseline. They further recommended evaluating knowledge frequently in order to facilitate sharing and learning.

42. Participants highlighted the following lessons regarding monitoring and evaluation:

(a) Monitoring and evaluation systems need to be designed with a long-term perspective in mind and be refined as common understanding develops;

(b) Standardization of monitoring and evaluation can be beneficial, but only within each individual country;

(c) There is no right way to decide what to monitor and report and how to design the system. The correct method depends on where a country is in the process, the existing reporting procedures, the purposes for which the monitoring and reporting results will be used, and on existing capacities and resources;

(d) National buy-in and leadership in the monitoring and evaluation process is key for enabling the institutionalization of monitoring and evaluation of adaptation;

(e) Some information such as financial records may not be easy to obtain from certain national institutions owing to its nature;

(f) Gaps and needs can be addressed by decision makers and society in general by making incremental improvements in knowledge and awareness.

C. Gaps and needs in the process to formulate and implement national adaptation plans

43. With respect to governance structure, policies, regulations and legislation, participants identified the following gaps and needs:

(a) It is important to put in place an appropriate mandate that defines, inter alia, the lead agency, the responsibilities of various national agencies and the operationalization of the national policy framework;

(b) There is low awareness of countries regarding NAP guidelines; strategies and structures are required to promote their use;

(c) There is a need to generate a deeper understanding of the process to formulate and implement NAPs at the national and international levels;

(d) Challenges exist in understanding or following various guidance documents related to the process to formulate and implement NAPs, including in relation to support, in particular for some of the countries whose working language is not English;

(e) It is importance to set up information systems or databases to manage all the information related to the process to formulate and implement NAPs.

44. Participants identified the following gaps and needs with regard to science and knowledge:

(a) It is important that the process to formulate and implement NAPs takes an interdisciplinary, scientific approach to informing policy and solutions and setting priorities and that they take traditional knowledge into account;

(b) A national-level dialogue between the research community and policymakers is necessary to support the formulation of NAPs;

(c) Local knowledge should be considered when undertaking assessments;

(d) It is important to consider the potential impact of regional issues, such as cross-border issues and related agreements, and international issues, such as global agreements on climate change, sustainable development goals, etc., on decision-making at the national level;

(e) It is the responsibility of the science community to focus not just on the problem, but also on solutions. It is the responsibility of the policy community to employ science in the search for solutions;

(f) Filling data gaps is important, but in the meantime making decisions under uncertainty, along with focusing on implementation, remains necessary;

(g) Training national/sector experts to conduct activities such as vulnerability assessments, scenario-building and development of frameworks for accessing funding for support for the process;

(h) More information is needed from the research community for informed, evidence-based plans and future reviews and updates.

45. On finance and implementation, participants identified the following gaps and needs:

(a) Developing longer-term, strategic frameworks for implementation that identify national adaptation priorities and sources of funding that match the planned adaptation actions;

(b) Clarifying the procedures and requirements for accessing different sources of funds early enough in the process in order to facilitate the harmonization of countries' strategies with the potential sources of funding;

(c) Considering both external (multilateral and bilateral) and domestic sources of funding for climate change adaptation in order to expand the pool of resources;

(d) Developing national climate change adaptation financing frameworks, through which all relevant stakeholders would report on funding received;

(e) Finding ways to expedite the provision of funding to developing countries for the formulation of NAPs. Participants noted that both the Least Developed Countries Fund and the Special Climate Change Fund had run out of funds and that either additional funds should be contributed to them or other options for developing countries to access funding for the formulation of NAPs need to be pursued;

(f) The GCF should work closely with the AC and the LEG in facilitating developing countries' access to funding from the GCF for the process to formulate and implement NAPs;

(g) The readiness and preparatory support provided through the GCF needs to also focus on supporting countries in their process to formulate and implement NAPs;

(h) Bilateral institutions need to develop financing strategies together with the governments;

(i) A collaboration platform for bringing together developing countries and financial partners would be helpful. Multilateral and bilateral partners should work in very close collaboration with the governments to ensure country ownership. Countries also need to determine where the overlaps are and what processes are burdensome.

46. Regarding monitoring, evaluation, reporting, sharing and learning, participants identified gaps and needs in relation to the following:

(a) Necessary tools and guidelines for designing and undertaking work on monitoring and evaluation;

(b) Technical support for a regular evaluation of information and knowledge and assessment of progress, effectiveness and gaps, including of the monitoring and evaluation systems;

(c) Ways to address the challenges stemming from monitoring and evaluation systems from different actors (e.g. national systems, donor-driven systems, etc.) having different standards and reporting requirements. Participants mentioned that different entities having different reporting standards makes it hard to lower the reporting burden;

(d) A learning platform to promote the sharing of experiences and learning, especially at the regional level;

(e) Allocation of relevant financial resources to the different phases and/or components of monitoring and evaluation.

IV. Options for enhancing reporting related to the process to formulate and implement national adaptation plans

47. The discussion on reporting related to the process to formulate and implement NAPs started with a summary of the following relevant mandates:[19]

(a) An invitation to Parties to provide information through their national communications on what measures they have undertaken and on support provided or received relevant to the NAP process;

(b) An encouragement to LDC Parties, to the extent possible, to provide information on their NAP process through their national communications as well as other channels;

(c) A request to the LEG, the AC and other relevant Convention bodies to include information in their reports on how they responded to the request made in decision 5/CP.17 and on their activities relevant to the NAP process;

(d) An invitation to United Nations organizations, multilateral, intergovernmental and other international and regional organizations to provide information on their activities to support the NAP process;

(e) A request to the secretariat to collect, compile and synthesize information needed by the SBI to monitor and evaluate the progress made on the NAP process;

(f) Invitation to LDC Parties, and other interested developing country Parties that are not LDCs, that may wish to do so to forward outputs including NAP documents and outcomes related to the process to formulate and implement NAPs to NAP Central.

48. The discussion then focused on existing reporting channels and the options for enhancing reporting related to the process for formulate and implement NAPs at the international level, as well as communication and outreach at the national level.

A. Existing reporting channels

49. Participants considered the following existing reporting channels under the Convention:

(a) National communications: submitted by all Parties to communicate to the COP information relevant to the implementation of the Convention.[20] Developing countries submit national communications every four years, with flexibility for LDCs and small island developing States;[21]

(b) Biennial update reports: submitted by developing countries and containing updates on national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received.[22] The reports are submitted every two years with flexibility for LDCs and small island developing States;[23]

(c) Biennial reports: submitted by developed countries to communicate progress in achieving quantified economy-wide emission reduction targets, and report on projected emissions and the provision of financial, technology, and capacity-building support to developing country Parties.[24]

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[19] See decision 5/CP.17, paragraphs 32–38, and decision 3/CP.20, paragraph 9, for the complete text of the mandates.

[20] See Article 12 of the Convention.

[21] See <http://unfccc.int/1408>.

[22] Decision 1/CP.16, paragraph 60(c).

[23] See <http://unfccc.int/1408>.

50. Furthermore, NAP Central was mentioned as one of the existing channels through which developing countries may respond to the invitation referred to in paragraph 47(f) above.

51. A few participants shared information on communication and outreach efforts related to adaptation activities at the national level. It was mentioned that through such efforts, countries communicate information on the progress, termination or renewal of specific projects and programmes, and provide reports on assessments of risks, vulnerabilities, impacts and adaptation. A further point was made that such national level communication is useful for facilitating learning on adaptation planning and implementation and accountability to various stakeholders.

52. Some participants indicated that current reporting systems for adaptation projects are biased towards the requirements of development/funding agencies. They suggested that reporting could be more inclusive and target other equally important sections such as the provision of information to the civil society, the private sector and the general public using appropriate means.

53. The following existing modalities for communication of climate change adaptation information at the national level and related outreach, which could also be considered when undertaking the process to formulate and implement NAPs, were highlighted by some of the participants:

(a) Policy briefs, posters and brochures for communicating major milestones or outputs on efforts to address climate change adaptation;

(b) Local electronic and print media (television, radio and newspapers);

(c) Websites of the lead agency on adaptation and of other key stakeholders, which can serve as a repository of national strategies and plans and reflect progress;

(d) Integration of information on latest findings on local effects of climate change implications into seasonal/climate forecast bulletins.

54. Participants further indicated some of the challenges regarding communication and outreach at the national level, including the following:

(a) In the case of projects and programmes, modalities are often driven by external partners and may not necessarily match national needs and formats;

(b) In some cases, the reporting format does not allow detailed technical inputs;

(c) Owing to a lack of coordination, reporting at times faces protocol challenges and delays in the submission of reports from other national agencies;

(d) National statistical entities in different sectors are not always willing to share their data for reasons such as confidentiality and security.

55. Participants also suggested the following potential solutions to the challenges referred to in paragraph 54 above:

(a) Putting in place mechanisms to ensure uniform channels of reporting, borrowing experience from other relevant national processes;

(b) Developing and harmonizing national knowledge management systems, which should incorporate information from performance monitoring frameworks;

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[24] Decision 1/CP.16, paragraph 40(b) and (c).

(c) Providing simple and user-friendly formats for different data sets to be collected at the national level.

B. Options for enhancing reporting related to the process to formulate and implement national adaptation plans

56. In discussing options for enhancing reporting related to the process to formulate and implement NAPs, participants concurred that it is important to first clearly identify the purpose and specific goals of such reporting. Many indicated that there is not yet sufficient clarity on the purpose and specific goals and on what exactly needs to be reported to the international community. Several participants noted that specifying goals and objectives would allow the determination of different reporting requirements.

57. With regard to such possible goals and objectives, participants explored that reporting could serve a variety of needs, including the sharing of knowledge and facilitation of learning, providing a better understanding of the gaps and needs in the process to formulate and implement NAPs, communicating capacity-building needs, communicating achievements on reducing vulnerability to climate change, and matching needs with sources of support.

58. Subsequently, participants explored some of the possible elements that could be included in NAP documents and which could inform communication and outreach at the national level and/or reporting at the international level. These include:

(a) A national vision on adaptation;

(b) Policy frameworks including mandate for the process to formulate and implement NAPs;

(c) Assessments of impacts, vulnerabilities and risks;

(d) Adaptation priorities at the national and subnational levels;

(e) An overview of ongoing and planned adaptation actions;

(f) Communication and outreach strategies;

(g) Capacity gaps and needs;

(h) Required means of implementation (finance, technology and capacity-building) needed for the formulation and implementation of NAPs;

(i) Monitoring and evaluation frameworks.

59. Participants concurred that NAP documents prepared at the national level would serve as the primary source of information for, inter alia, national-level communication and outreach and reporting to the UNFCCC in accordance with decision 5/CP.17, paragraphs 32 and 33.

60. Regarding communication and outreach at the national level, participants agreed that there is a need to enhance efforts to share relevant outcomes and outputs of the process to formulate and implement NAPs with all national stakeholders. They mentioned that such efforts would need to remain flexible and apply commonly used approaches, including those from similar national processes, where applicable. In this regard, the participants highlighted the need to take into account the following considerations:

(a) Efforts need to be tailored to all relevant national stakeholder levels, from grass roots to policy;

(b) Efforts should be regular and could include information on outputs, outcomes, impacts, vulnerabilities and risks, as well as national adaptation capacity gaps and needs;

(c) There is a need to identify the target audience in order to ensure the application of appropriate modalities;

(d) Modalities for communication and outreach vary and can require significant resources. To minimize those requirements it might be helpful to consider existing mechanisms and structures and how they could be applied. Where possible, it might also be wise to develop centralized data collection and sharing systems;

(e) There is a need to strengthen efforts to generate political buy-in and general public awareness on adaptation at the national level. Presentation of information through a consolidated plan would help to enhance those efforts;

(f) Information produced and shared at the national level could form the basis for reporting to international processes such as the UNFCCC.

61. Regarding reporting to the UNFCCC, participants further elaborated that:

(a) National communications could communicate measures undertaken; progress, effectiveness and gaps in the process to formulate and implement NAPs and its overview; and support provided and received;

(b) Intended nationally determined contributions could capture information on the efforts made in relation to adaptation or components thereof;

(c) Either of the above-mentioned means of reporting could also be used to transmit NAP documents (e.g. by specifying where the documents have been published or can be accessed).

62. Participants then indicated that the guidelines for national communications may need to be revised to capture relevant information from the process to formulate and implement NAPs.

63. NAP Central was referred to in many instances as the platform through which developing countries will communicate information on NAPs. Participants elaborated that NAP Central would not only serve as a database of information on the process to formulate and implement NAPs, but also as a universal information system for access to NAP documents, relevant outputs and outcomes of that process, progress made by developing countries, gaps and needs, and support provided and received. They also agreed that providing information through NAP Central should not replace reporting through national communications or other channels.

Anne

Guiding questions

1. The following questions were meant to guide the organization of the workshop this document reports on, including: (a) as part of the invitation letters sent to the participants to assist them in preparing for the workshop; (b) to solicit inputs from the participants in advance of the workshop; and (c) to assist the organizers in designing the workshop programme. Participants were requested to provide information on their country on the basis of the guiding questions, which was compiled and made available at the workshop. The guiding questions were as follows:

2. On the focus area of sharing experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs, and in the context of governance structures; policies, regulations and legislation; stakeholder engagement, capacity development; science and knowledge; finance and implementation; and monitoring, evaluation, reporting, sharing and learning:

(a) What has your country done at the national level with regard to adaptation planning and implementation? How was it done?

(b) Which key choices were made and what were the main considerations?

(c) How has your country applied the NAP guidelines developed by the UNFCCC for NAPs (see <unfccc.int/7279>)? What gaps remain?

(d) How is your country coordinating support and available resources in the context of country ownership and country drivenness?

(e) What systems does your country have in place to identify and address gaps for adaptation planning and implementation?

3. On the focus area of exploring options for enhancing reporting related to the process to formulate and implement NAPs:

(a) What needs to be enhanced for reporting?

(b) What needs to be reported at the national and international levels?

(c) Do the existing modalities for reporting work? What constraints exist and how can they be overcome?

(d) How can existing modalities be improved to enhance reporting on the process to formulate and implement NAPs?

(e) What measures does your country have in place, or anticipate, to communicate the process to formulate and implement NAPs to stakeholders at the national level and beyond?